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ABSTRACT

This document contains the second year of the U.S. Department of Education's 2002-07 Strategic Plan. The plan outlines the strategies and actions the department will undertake to meet its goals, and it defines the measures and targets the department will use to determine success of the plan. Detailed are the six goals, along with their objectives, of the plan. The six goals are as follows: (1) create a culture of achievement; (2) improve student achievement; (3) develop safe schools and strong character; (4) transform education into an evidence-based field; (5) enhance the quality of and access to postsecondary and adult education; and (6) establish management excellence throughout the Department of Education. Also included are details on interim adjustments to the 2002-07 Strategic Plan; a glossary of abbreviations and acronyms; a brief bibliography; and the following appendices: "Budget-to-Objective Crosswalk"; "Action Step Crosswalk: 2003-2004"; "Information Quality Guidelines"; and "Overview of New Directions for Program Evaluation." (WFA)

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U.S. Department of Education Annual Plan, Fiscal Year 2004

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Annual Plan

Fiscal Year 2004

U.S. Department of Education

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In this great land called America,
no child will be left behind.

—President George W. Bush

Annual Plan
Fiscal Year 2004

U.S. Department of Education

Washington, D.C.
March 31, 2003

U.S. Department of Education
Rod Paige
Secretary

Office of the Deputy Secretary
William D. Hansen
Deputy Secretary

Strategic Accountability Service
Hugh Walkup
Director

March 2003

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Message from the Secretary

Last year President Bush redefined the federal role in education when he signed the No Child Left Behind Act. Based on the simple premise that every child can learn, the President established four basic principles to guide our efforts to accomplish that vision: accountability, flexibility, expanded parental choice, and doing what works. That vision continues to guide the Administration's education efforts today.

Another key event of 2002 was my release of the Department's *2002–2007 Strategic Plan*. This document embraces both the principles of No Child Left Behind and the principles of the *President's Management Agenda*. By focusing the work of the Department on those ideas, the Department will join America's parents and schools in working effectively to leave no child behind.

This document represents the second year of the strategic plan, and the passage of time has brought sharper focus to the fundamental shift made last year. Since the signing of No Child Left Behind, the Department has implemented the law with grants being made to every state in the nation. We have begun to distribute the increasing levels of federal support to states and school districts in programs that are actually designed to increase student learning. The Department received its first clean audit in many years, and it started the One-ED management reform process to bring strategic review to the means used by the Department to carry out its mission.

This year will bring similar achievements. The impact of No Child Left Behind will truly be felt among parents, students, teachers, and administrators. The public will be able to point to programs that work for children, instead of just for institutions. The Department will make progress toward greater management excellence, and we will work with Congress to bring those principles of accountability, flexibility, choice, and effective practice to special education, adult and technical education, and higher education.

This *FY 2004 Annual Plan* provides the nation's citizens with the transparent standards against which our work can be judged. The plan outlines the strategies and actions we will undertake to achieve our goals. It defines the measures and targets by which we will assess our success.

The plan sets the bar for success. However, we will not reach that bar alone. Parents, teachers, state and local officials, college professors and administrators, members of Congress, and the staff of countless other federal, state, and local agencies will all play a role. But we will take the responsibility for achieving the goals laid out in this plan. The country may judge us by our work as we strive to ensure that no child is left behind.

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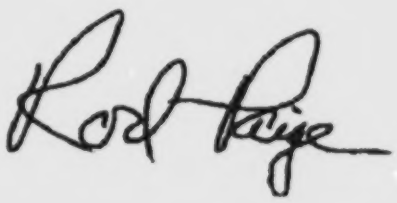

Mission

To ensure equal access to education and to promote educational excellence throughout the nation.

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1 Introduction

Introduction

About the Fiscal Year (FY) 2004 Annual Plan

Last year Secretary Rod Paige released the Department's *2002–2007 Strategic Plan*. This plan established six ambitious goals for the agency and for the nation. It identified specific performance measures and annual targets that give substance to the goals. It outlined the Department's strategies to reach its goals. (The plan is online at http://www.ed.gov/pubs/stratplan2002-07.)

> ***No Child Left Behind*** *is more than a slogan. It is a promise that the Department of Education intends to keep.*
>
> *—2002–2007 Strategic Plan*

The *Strategic Plan* integrates the President's No Child Left Behind initiative with the *President's Management Agenda* (PMA). Bold policy underlies our goals and objectives. Effective management will ensure that we achieve them.

The Department's *Fiscal Year 2004 Annual Plan* implements the *Strategic Plan*. In addition to specifying measures of each objective, it contains action steps to implement each objective's strategies. Our Executive Management Team will continuously track these action steps. Members of Congress, stakeholders, and the general public can view, with great transparency, our plans for putting ideas into action. Employees throughout the Department can gain greater insight into how their work connects with the results we are attempting to achieve.

We recently released our *FY 2002 Performance and Accountability Report*, which provides information on our performance for that year and includes our financial statements. We have made substantial progress, but we remain committed to improving these results. The action steps in the *FY 2004 Annual Plan* show how we will continue our work to transform the federal role in education and to improve performance in our nation's schools, especially as the landmark No Child Left Behind Act becomes fully implemented.

No Child Left Behind

One year after President George W. Bush signed into law the No Child Left Behind Act of 2001 (NCLB), state officials, administrators, and teachers across the country are hard at work making changes designed to help ensure that by 2013–14, every student who attends an American school will be proficient in reading and mathematics. This far-reaching, bipartisan reauthorization of the Elementary and Secondary Education Act (ESEA) is based on accountability for results, choice, proven educational methods, and flexibility and local control in federal education programs.

In response to NCLB, states are strengthening their accountability systems by setting tough annual progress objectives and expanding the assessments that will be used to measure that progress. School districts are emphasizing efforts to improve low-performing schools while providing new options for parents of students attending schools that do not improve, such as the opportunity to transfer to a better-performing school or to use federal funds to obtain supplemental educational services from the provider of their choice. Secretary Paige and Department leadership have worked

closely with state officials to coordinate the implementation of NCLB. All 50 states and the District of Columbia submitted their accountability plans on time. Six states submitted their plans early and we have already approved them. Department staff are visiting each state to review its accountability plans and discuss NCLB implementation.

Schools are using assessment data to identify areas where instruction must be improved and are adopting proven educational practices to make the changes needed to raise student achievement. Parents are learning more than ever before about how well schools are educating their children from the state and local "report cards" required by NCLB, and they are using this information to demand improvement from their schools and options for their children.

President Bush and the Congress have provided significant resources to leverage the improved state and local accountability called for in NCLB. This reflected the President's commitment to provide more resources for education in exchange for stronger accountability for results and on condition that federal funds be used to support proven educational methods.

Consistent with the traditionally limited federal role in the American system of education, this investment is focused squarely on meeting the needs of students from economically disadvantaged and minority backgrounds. These are students who have been left behind for too long, and President Bush has made meeting their educational needs at the K–12 level and beyond a cornerstone of his Administration.

For this reason, President Bush has focused new education investments on programs that have a demonstrated record of success in improving educational outcomes, or on programs that have been fundamentally reformed by the No Child Left Behind Act. The President also has targeted new resources to programs that help to close the achievement gaps that persist among racial, ethnic, and socioeconomic groups across the country.

About the new law Secretary Rod Paige declared, "Reform is no longer about access or money. It is no longer about compliance or excuses. It is about improving student achievement by improving the quality of the education we offer American students."

The No Child Left Behind Act demands progress and achievement. It embraces the principles supported by the President: accountability for results, flexibility and local control, expanded parental options, and doing what works. Putting these principles into action will transform our K–12 educational system. These same principles will serve as the foundation for upcoming reforms in areas such as special education, vocational rehabilitation, higher education, adult education, and vocational education.

The tide of events since September 11, 2001, demands that schools be better prepared. We're here to help—to provide more information and resources and to highlight programs we know... will help our schools strengthen and improve their emergency plans.

—Secretary Rod Paige

Recent events have made clear that our schools must prepare our students for the world around them and protect them from its potential threats. Consequently, this *FY 2004 Annual Plan* adds strategies and action steps to help schools better prepare students to understand and communicate with citizens from other countries and cultures, and to expand our nation's collaboration with other nations' educational systems. These new strategic initiatives build on the United States' recently renewed membership in the United Nations Educational, Social and Cultural Organization (UNESCO). This plan also increases our support for state and local efforts to strengthen the security of our schools, including providing technical assistance in crisis response for school personnel, parents,

and students. More information on this initiative and school security is available at www.ready.gov.

Establishing Management Excellence at the U.S. Department of Education

The President and Secretary Paige have undertaken a number of measures to improve the operational and strategic management of the federal government and the Department of Education. They have used a series of tools–the *President's Management Agenda*, the *Blueprint for Management Excellence*, and One-ED, among others–to offer accountability, transparency, and excellent management to Congress and taxpayers.

Federal and Departmental Management Reform

When Secretary Paige arrived at the Department, he found financial and management problems that over time had damaged our credibility with Congress and the American public. Auditors had been unable to issue a clean opinion on the Department's financial statements for each of the prior three fiscal years, the federal student assistance programs remained a fixture on the General Accounting Office's High-Risk List, and information technology security and internal control issues were not being addressed appropriately. Secretary Paige attacked these problems head-on.

In April 2001, Secretary Paige assigned a team of senior career managers–called the Management Improvement Team (MIT)–the task of identifying and fixing the most urgent management problems at the Department. This team developed a *Blueprint for Management Excellence* (*Blueprint*) that, in addition to overall strategies, now includes 140 action items designed to address long-standing management concerns. (The *Blueprint* is online at www.ed.gov/inits/mit/index.html.)

While the work of the MIT was already well under way, it was greatly strengthened with the release of the *President's Management Agenda* (PMA), a comprehensive plan to improve the performance of the federal government. The PMA identifies five government-wide goals: the strategic management of human capital, competitive sourcing, improved financial management, expanded electronic government (e-gov), and budget and performance integration. These goals have been integrated into the Department's strategic goal number six, "Establish Management Excellence" and, more important, into the efforts of the Department to improve its management.

The formation of the MIT was just the first step. Subsequently, Secretary Paige has taken other important actions to improve the Department's management structure and address pressing issues, including the following: (1) creating the Executive Management Team (EMT), which consists of top political appointees and career senior managers who oversee all management improvement processes; (2) establishing a Culture of Accountability Team to better ingrain a culture of accountability throughout the Department; and (3) partnering with the National Academy of Public Administration, the Private Sector Council, and the Council for Excellence in Government to develop a five-year human capital, strategic sourcing, and restructuring plan.

One-ED: Five-Year Human Capital, Strategic Sourcing, and Restructuring Plan

To meet the objectives in the *President's Management Agenda*, which require all federal agencies to develop competitive sourcing, restructuring, and human capital plans, the Department has

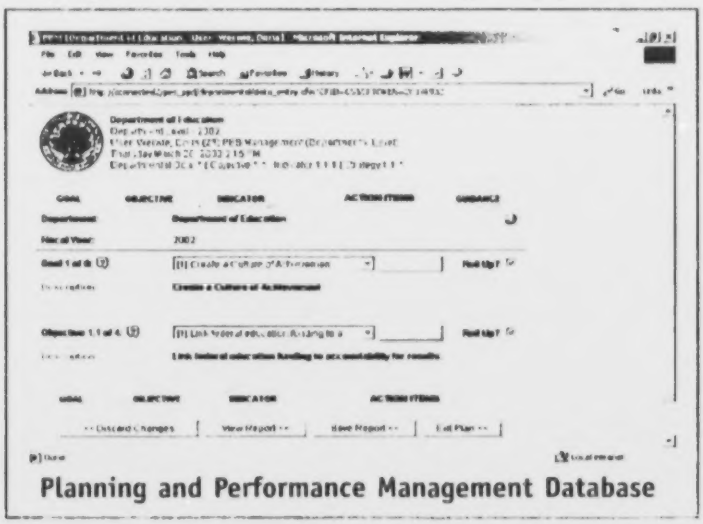
developed and is implementing One-ED. One-ED, approved by the Secretary in June 2002, seeks to define a new way of doing business by analyzing all primary work processes in order to determine the best way to accomplish work, regardless of how it was accomplished in the past. The One-ED teams, made up of career employees, are chartered to create a vision of reengineered business processes that takes advantage of modern best practices, information technology, and performance enhancements. These selected business processes will be subject to the competitive sourcing decision process in accordance with the *President's Management Agenda*. Once the new, more efficient business processes are defined, we will structure the organization in a manner that best supports the new process. The form and structure of the organization will follow the function of the reengineered business processes. The human capital portion of One-ED addresses the human capital needs required to best implement and sustain the new processes. Learning tracks will lead employees through progressive levels of responsibilities and skill development to meet the needs of our work processes. One-ED seeks to address systemic work and organizational issues by focusing on work processes rather than on just changing organization structure.

Turning Plans into Action

Secretary Paige has said on many occasions that he does not want the *Strategic Plan* to be a "trophy to hang on the wall." He knows that it will become a truly useful document only when it is integrated into the fabric of daily life at the Department. To make this happen, we launched an education campaign to ensure that every manager and employee in the Department understands the Department's new direction, and we are aligning the work of our offices, teams, and individual employees with our strategic goals and objectives.

While the *Strategic Plan* gives direction to the Department–and transparency to the public–greater detail is needed to put the plan into action. This *Annual Plan* provides that detail in the form of the action steps listed in this document. Each action step will be "owned" by an office, which will be held accountable for getting the work done. To connect this process with ongoing management improvement efforts, most of the action steps within goal six have been drawn directly from the *Blueprint* and the *Culture of Accountability Report* and aligned with the *President's Management Agenda*.

The Executive Management Team (EMT) oversees the implementation of the *Strategic Plan*, as well as the other management initiatives, to ensure alignment and coordination. The EMT utilizes a database to track the progress of the action steps, allowing every person within the Department to



Planning and Performance Management Database

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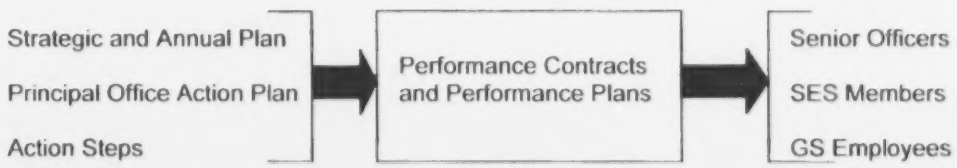
know the status of those steps. The database is updated regularly; and each action item is assigned green (everything is on track), yellow (deadlines are slipping or the action step needs attention), or red (intervention needed immediately). This performance management system identifies activities that need attention and recognizes successes. It charts our progress, both internally and externally, to implement our strategies.

The Department publishes a monthly list of action items that have been completed successfully or are proceeding exceptionally well. We also intend to provide tangible rewards for great work. The Department is creating a cash bonus and recognition program that will reward individuals and teams for exceptional performance on these action steps.

Linking Employee Performance with the Department's Goals and Objectives

While the awards program will recognize individual and group performance, it is critical to link all of the Department's employee performance plans to the *President's Management Agenda* (PMA), the *Strategic Plan*, and the Department's other strategic priorities. The Department has adopted an integrated approach to reach this objective.

Aligning Performance Appraisals with Strategic Goals and Objectives



SES = Senior Executive Service
GS = General Schedule

Assistant secretaries have been given performance contracts that are reviewed and signed by the Secretary. These contracts are based on the 8 to 10 highest-priority action steps for which the assistant secretaries are responsible. Performance contracts for assistant secretaries will be updated to reflect the emerging priorities of the Department that affect their programs.

The appraisal system for members of the Senior Executive Service (SES) has been changed to require that their performance plans be directly linked to the PMA, the *Strategic Plan*, and the Department's other strategic priorities. Performance plans will be reviewed on an annual basis to ensure that they are aligned and linked with the Department's strategic priorities. The SES appraisal system will undergo further revision to ensure that it takes advantage of flexibilities in the Homeland Security Act.

A new Education Department Performance Appraisal System (EDPAS) has been developed and implemented for General Schedule (GS) employees to link their performance standards to the Department's strategic priorities. Metrics will be developed to evaluate the effectiveness of the system.

The Challenge

The Department of Education does not operate schools or train teachers or teach students. In America, education is primarily a state and local responsibility. Federal support for education, although growing to 9 percent in the President's proposed budget, is a small part of total education funding. Our challenge is to improve our support for state, local and institutional partners, who have much more direct ability to influence the outcomes we seek. For that purpose, we have undertaken this FY 2004 implementation of our *Strategic Plan* to ensure that our Department fulfills our responsibilities effectively and efficiently, targets our resources on our strategic priorities, and works effectively with our partners to ensure equal access to education and promote educational excellence throughout the nation.

A year ago, our nation embarked on an historic journey—a journey that embraced the President's hopeful vision that says: "Education is a civil right—just as much a civil right as the right to vote or to be treated equally. And it is the duty of our nation to teach every child equally, not just some of them."

—Secretary Rod Paige

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Goals and Objectives

- Objectives

9

Strategic Goals

Goal One:
Create a Culture of Achievement

1.1 Link federal education funding to accountability for results.
1.2 Increase flexibility and local control.
1.3 Increase information and options for parents.
1.4 Encourage the use of scientifically based methods within federal education programs.

Goal Two:
Improve Student Achievement

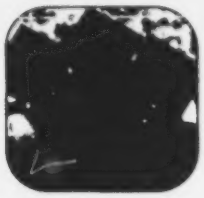
2.1 Ensure that all students read on grade level by third grade.
2.2 Improve mathematics and science achievement for all students.
2.3 Improve the performance of all high school students.
2.4 Improve teacher and principal quality.
2.5 Improve U.S. students' knowledge of world languages, regions, and international issues and build international ties in the field of education.

Goal Three:
Develop Safe Schools and Strong Character

3.1 Ensure that our nation's schools are safe and drug free and that students are free of alcohol, tobacco, and other drugs.
3.2 Promote strong character and citizenship among our nation's youth.

Goal Four:
Transform Education into an Evidence-Based Field

4.1 Raise the quality of research funded or conducted by the Department.
4.2 Increase the relevance of our research in order to meet the needs of our customers.



Goal Five:
Enhance the Quality of and Access to Postsecondary and Adult Education

5.1 Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all.
5.2 Strengthen accountability of postsecondary education institutions.
5.3 Establish effective funding mechanisms for postsecondary education.
5.4 Strengthen Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities.
5.5 Enhance the literacy and employment skills of American adults.
5.6 Increase the capacity of U.S. postsecondary education institutions to teach world languages, area studies, and international issues.

Goal Six:
Establish Management Excellence

6.1 Develop and maintain financial integrity and management and internal controls.
6.2 Improve the strategic management of the Department's human capital.
6.3 Manage information technology resources, using electronic government, to improve services for our customers and partners.
6.4 Modernize the Student Financial Assistance programs and reduce their high-risk status.
6.5 Achieve budget and performance integration to link funding decisions to results.
6.6 Leverage the contributions of faith-based and community organizations to increase the effectiveness of Department programs.
6.7 By becoming a high-performance, customer-focused organization, earn the President's Quality Award.

Goal 11

13

1 Strategic Goal One:

Create a Culture of Achievement

The purpose of prosperity is to make sure the American dream touches every willing heart. The purpose is to leave no one out — to leave no child behind.

—President George W. Bush

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Individuals and groups who work in social systems such as the American education system are strongly influenced by the system's culture. To improve such a system, the most potent strategy for change is cultural change. Therefore, through the effective implementation of the No Child Left Behind Act, we are creating a culture characterized by accountability for results, flexibility and local control, expanded parental options, and the use of instructional practices based on scientific research—and we are embedding these principles in programs and activities throughout the Department.

Approximately 5 percent of the Department's FY 2004 budget request will support Goal 1.

Objective 1.1

Link federal education funding to accountability for results.

Objective 1.2

Increase flexibility and local control.

Objective 1.3

Increase information and options for parents.

Objective 1.4

Encourage the use of scientifically based methods within federal education programs.

Objective 1.1 Link federal education funding to accountability for results

To create a culture of achievement, we must demonstrate that achievement counts, at the local, state, and federal levels. We are working with our partners to make accountability for results the hallmark of our education system. In alignment with No Child Left Behind (NCLB), states are developing systems that hold school districts and local schools accountable for results. Progress by the states on a number of achievement indicators is being reported annually. Federal education programs also are being held accountable. Those that do not demonstrate results in terms of student outcomes are being reformed or eliminated.

The Department continuously tracks the performance of each program with an appropriation of at least $20 million against updated and revised performance measures, which are tied to educational outcomes and reflect the purposes of the programs. Program performance plans are an online component of this *FY 2004 Annual Plan* and are on our Web site at http://www.ed.gov/pubs/planrpts.html. See page 20 for a list of these programs.

Strategies and Action Steps for Objective 1.1

Strategy A: Help states implement their NCLB accountability plans

a. Provide support to states, districts, and organizations that assist states with implementing the standards, testing and accountability provisions of the NCLB.

b. Identify model implementation of NCLB in selected states and schools.

c. Partner with the Education Commission of the States to track state implementation of NCLB.

d. Develop a new public service advertising campaign with leading business, government, and education organizations in order to build awareness of the NCLB, including its accountability provisions.

e. Provide technical assistance to ensure that new testing and accountability requirements in NCLB are understood and met.

Strategy B: Provide technical assistance

a. Develop training and technical assistance modules and materials for states to assist them in planning, implementing, and evaluating consumer-directed and community-based services for successful community integration of persons with disabilities.

b. Through a collaborative effort of the Rehabilitation Services Administration (RSA) and the Office of Special Education Programs (OSEP), intervene with states whose programs under Individuals with Disabilities Act (IDEA) and Vocational Rehabilitation (VR) are in the most need and would most benefit from intense intervention to improve the performance of individuals with disabilities.

c. Monitor state performance of the establishment of standards, assessments, and annual measurable achievement objectives for ensuring English language proficiency and the academic achievement of English language learners (ELLs).

d. Provide technical assistance to ensure that all students are included in state reading and mathematics assessments and state accountability systems.

e. Provide information and technical assistance to tribal colleges to promote equitable participation and enhance or develop their capacity in federal education programs.

f. Identify and disseminate information about monitoring practices to improve accountability of state and local agencies.

g. Through the Performance Measurement Initiative, design and pilot-test a secondary and postsecondary assessment and accountability system for academic and career and technical education programs with the Performance-Based Data Management Initiative (PBDMI).

h. Provide technical assistance on scientifically based research and evaluation to state departments of education and local school districts.

i. Develop technical assistance projects for state educational agencies (SEAs), local educational agencies (LEAs), and institutions of higher education (IHEs) on educational technology-related topics, such as virtual schools and statewide evaluations.

Strategy C: Create performance-based grants

a. Improve the monitoring of state grants in order to increase the focus on program goals and improved student achievement.

b. Structure grant competitions to promote the development and rigorous evaluation of education interventions and focus on program goals and achieving results.

c. Provide incentives for grant recipients to implement proven, replicable interventions on a large-scale basis.

d. Revise selection criteria in program application packages to include program performance measures. Encourage the use of these measures for program planning management and evaluation.

e. Provide technical assistance to grantees and staff on the new application standards and on ways to develop and use high-quality performance measures in the planning, management, and evaluation of programs.

Strategy D: Develop plans and reports that tie funding to accountability

a. improve the timeliness and quality of performance information on Department programs and strategic objectives.

b. Improve the availability and use of program performance information for the budget decisions, particularly the Program Assessment Rating Tool (PART) developed by the Office of Management and Budget (OMB).

c. Publish an annual national education performance report that provides data about state progress on a number of K–16 indicators (data drawn largely from NCLB Consolidated State Reports).

d. Develop and disseminate statutorily required reports to Congress in a timely manner.

Strategy E: Support Department programs that work

a. Improve the quality of program performance measures and increase the number of program performance measures that focus on outcomes.

b. Develop common measures for selected areas (e.g., common measures for technical assistance).

c. Revise program performance indicators to focus on results and integrate them into the PBDMI.

d. Use national activities funds to develop and rigorously evaluate education interventions.

e. Develop and implement an evaluation plan that will produce rigorous information on the effectiveness of Department programs and the effectiveness of interventions supported by federal funding streams.

f. Convene nationally recognized research, training, and technical assistance experts to consider issues involving the assessment of students with cognitive and/or severe other disabilities at the secondary and postsecondary levels.

g. Convene nationally recognized research, training, and technical assistance experts to identify child and family outcomes, performance indicators, and assessment methodologies to measure progress of children from birth through five years of age who are served under the IDEA, Part C and Part B, to determine the performance of programs.

Strategy F: Inform legislative proposals emphasizing accountability

a. Encourage congressional consideration of embedding accountability in education legislation.

Key to Tables on Pages 19–105

B	=	Basic. Achievement level used on the National Assessment of Educational Progress (NAEP).
M	=	Million
NA	=	Not available. Historical or trend data are not available for that year.
NM	=	New measure for FY 2004. The measure was not yet in place as an indicator for FY 2003.
P	=	Pending. Data are expected but not yet available.
Pr	=	Proficient. Achievement level used on the NAEP
PP	=	Percentage points. This is used to designate a future target on the basis of a baseline that has not yet been set.
X	=	A target is not set because data will not be available for that year; the measure does not apply for that year. This is used where the measure is an ongoing indicator but collections are biennial or less frequent.

Performance Measures for Objective 1.1

Objective 1.1: Link Federal Education Funding to Accountability for Results							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
State Accountability Systems	The percentage of states with complete school accountability systems, including testing in grades 3–8, in place as required by the No Child Left Behind Act.	NA	NA	NA	NA	40	50
Federal Program Accountability	The percentage of Department programs reviewed under the PART process that demonstrate effectiveness.	NA	NA	NA	29	40	50
	The percentage of Department program dollars associated with programs reviewed under the PART process that demonstrate effectiveness.	NA	NA	NA	55	60	65

NA = Not available

Notes:

For FY 2004, two of these measures have been revised and the targets have been changed. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

STATE ACCOUNTABILITY SYSTEMS

Source: Department of Education, Office of Elementary and Secondary Education (OESE), State Assessment Tracking System.

Additional Information: For this indicator, a complete accountability system includes annual assessments in grades 3–8 in mathematics and reading; the publication of adequate yearly progress targets for each student subgroup; the publication of student achievement data (by school, district, and statewide) disaggregated by race/ethnicity, poverty, disability, and Limited-English proficiency; and the choice provisions for students in low-performing schools. This entire system is not required to be in place until the 2005–06 school year.

FEDERAL PROGRAM ACCOUNTABILITY

Source: Department of Education, Office of the Deputy Secretary (ODS), Strategic Accountability Service (SAS), Analysis of the Program Assessment Rating Tool (PART) scores.

Additional Information: The Department bases these measures on programs that are reviewed by OMB under the PART. We define effective programs as those with scores of at least 50 percent on Section IV of the PART and compare the number of effective programs with the number of programs that are reviewed under the PART. At this point only a relatively small number of programs are reviewed under the PART process. However, over time, we expect that a greater number of programs will be reviewed by this method.

FY 2004 Program Performance Plans for the following programs are an online component of this *FY 2004 Annual Plan* and are located on the Department's Web site at www.ed.gov/pubs/planrpts.html.

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Programs with Program Performance Plans

DEOA: Office for Civil Rights
DEOA & HEA: Payments to guaranty agencies
DEOA & HEA: Student aid administration
EDA: Gallaudet University
EDA: National Technical Institute for the Deaf
ESEA: 21st Century community learning centers
ESEA: Advanced placement
ESEA: Character education
ESEA: Charter schools grants
ESEA: Early reading first
ESEA: Educational technology state grants
ESEA: English language acquisition state grants
ESEA: Even start
ESEA: Impact aid–Basic support payments
ESEA: Impact aid–Construction
ESEA: Impact aid–Payments for children with disabilities
ESEA: Impact aid–Payments for federal property
ESEA: Improving teacher quality state grants
ESEA: Indian education–Grants to local educational agencies
ESEA: Indian education–Special programs for Indian children
ESEA: Literacy through school libraries
ESEA: Magnet schools assistance
ESEA: Migrant education
ESEA: Neglected and delinquent
ESEA: Reading first state grants
ESEA: Reading is fundamental/Inexpensive book distribution
ESEA: Ready-to-learn television
ESEA: Safe and drug-free schools and communities–Federal activities and evaluation
ESEA: Safe and drug-free schools and communities–Mentoring program
ESEA: Safe and drug-free schools and communities–State grants
ESEA: State assessments
ESEA: State grants for innovative programs
ESEA: Teaching of traditional American history
ESEA: Title I grants to local educational agencies
ESEA: Transition to teaching
ESEA: Troops-to-teachers
ESEA: Voluntary public school choice
ESRA: National assessment
ESRA: Research, development, and dissemination
ESRA: Statistics
HEA: Aid for institutional development–Developing Hispanic-serving institutions
HEA: Aid for institutional development–Strengthening historically black colleges and universities
HEA: Aid for institutional development–Strengthening historically black graduate institutions
HEA: Aid for institutional development–Strengthening institutions (Part A)
HEA: Byrd honors scholarships
HEA: Federal direct student loan administration
HEA: Federal direct student loan subsidies

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Programs with Program Performance Plans (continued)

HEA: Federal family education loan subsidies

HEA: Federal family education loans liquidating account outlays

HEA: Federal Pell grants

HEA: Federal Perkins loans

HEA: Federal student loan reserve fund outlays

HEA: Federal supplemental educational opportunity grants

HEA: Federal TRIO programs

HEA: Federal work-study

HEA: Fund for the improvement of postsecondary education

HEA: Gaining early awareness and readiness for undergraduate programs (GEAR UP)

HEA: Graduate assistance in areas of national need (GAANN)

HEA: International education and foreign language studies–Domestic programs

HEA: Teacher quality enhancement

Howard University general support

Howard University hospital

IDEA: Grants for infants and families

IDEA: Grants to states

IDEA: Parent information centers

IDEA: Personnel preparation

IDEA: Preschool grants

IDEA: Research and innovation

IDEA: State improvement

IDEA: Technical assistance and dissemination

IDEA: Technology and media services

MVHAA: Education for homeless children and youths

RA: Demonstration and training programs

RA: Independent living–Centers

RA: Independent living–Services for older blind individuals

RA: Independent living–State grants

RA: National institute on disability and rehabilitation research

RA: Training

RA: Vocational rehabilitation state grants–Grants for Indians

RA: Vocational rehabilitation state grants–Grants to states

VTEA: Vocational education state grants (The President's FY 2004 budget proposes to replace this program with Secondary and Technical Education State Grants.)

WIA-AEFLA: Adult education state grants (The President's FY 2004 budget proposes to replace this program with Adult Basic and Literacy Education State Grants.)

Key: AEFLA = Adult Education and Family Literacy Act
DEOA = Department of Education Organization Act
EDA = Education of the Deaf Act
ESEA = Elementary and Secondary Education Act
ESRA = Education Sciences Reform Act
HEA = Higher Education Act
IDEA = Individuals with Disabilities Education Act
MVHAA = McKinney-Vento Homeless Assistance Act
RA = Rehabilitation Act
VTEA = Vocational and Technical Education Act
WIA = Workforce Investment Act

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Objective 1.2 Increase flexibility and local control

As President Bush has said, "Local schools now have a mandate to reform and we are giving them the freedom to reform." In exchange for greater accountability for results, states, school districts, and other grantees are receiving increased flexibility over the use of federal funds and are experiencing greater responsiveness from the Department to their concerns. Information technology initiatives are dramatically reducing the data-collection burden on state and local officials by seamlessly collecting and disseminating performance information. Increased flexibility is a core principle incorporated in all legislative proposals.

Strategies and Action Steps for Objective 1.2

Strategy A: Publicize flexibility provisions to the states

a. Aggressively publicize state flexibility opportunities through letters, conferences, and other means.

b. Publish the State-Flex notice and select the states.

c. Provide technical assistance to targeted states to help them apply for and attain Ed-Flex status.

d. Develop and disseminate guidance on flexibility within the Elementary and Secondary Education Act (ESEA) Title I schoolwide programs.

Strategy B: Publicize flexibility provisions to local districts

a. Publish the Local-Flex notice, hold competition, and select additional sites.

b. Continue a study about local barriers to using flexibility provisions.

Strategy C: Foster a customer-service orientation at the Department

a. Develop streamlined state performance report and align with the PBDMI.

b. Facilitate the use of the Customer Satisfaction Survey by program offices to expand the grantee sample.

c. Develop a plan for translating Customer Satisfaction Survey results into improved customer service.

Strategy D: Reduce data collection and reporting burden while increasing the usefulness of data

a. Implement the long-term PBDMI to centralize and dramatically reduce reporting burden; align data definitions and collections within the PBDMI.

b. Implement a short-term pilot project to collect school-level achievement data and align the data with financial and demographic information.

c. Develop a streamlined consolidated application and report for ESEA formula programs and align with PBDMI.

d. Revise the Office for Civil Rights' Elementary and Secondary Survey to reduce data-collection burden, improve data quality, and align with PBDMI.

Strategy E: Inform legislative proposals emphasizing flexibility

a. Encourage congressional consideration of embedding flexibility and local control in education legislation.

Performance Measures for Objective 1.2

Objective 1.2: Increase Flexibility and Local Control							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Local Flexibility	The percentage of school districts utilizing Local-Flex, Transferability or Rural Flexibility.	NA	NA	NA	NA	Set baseline	Baseline + 10 PP
State Flexibility	The number of states receiving State-Flex authority (statutory maximum of 7).	NA	NA	NA	NA	NM	3
	The percentage of LEAs with authority under State-Flex that make AYP.	NA	NA	NA	NA	NM	Set baseline
Federal Data Collection Burden	The OMB burden-hour estimate of Department program data collections per year.	42.07M	40.93M	40.65M*	36.26M	38M	36M
Customer Service	The percentage of Department grantees that express satisfaction with Department customer service (responsiveness, timeliness, efficiency, etc.).	NA	NA	NA	63*	65	67

*Baseline NA = Not available NM = New measure for FY 2004; not a measure for FY 2003
PP = Percentage points M = Million AYP = Adequate Yearly Progress

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Notes:

For FY 2004, one measure has been dropped from this objective and others have been added. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

Local Flexibility

Source: Department of Education, Office of Elementary and Secondary Education, Program files.

Additional Information: The measures in this indicator are based on the provisions for the Rural Education Achievement Program (REAP), Local Flexibility Demonstration Program (Local-Flex), and Local Transferability Provisions.

Although REAP was initially implemented in July 2001, its provisions were modified under the No Child Left Behind Act of 2001. Under No Child Left Behind, eligibility for REAP was expanded to include multiple formulas to encourage states and local educational agencies to apply for REAP. Thus, in FY 2002, the REAP program operated for a single year under provisions set forth in the Improving America's Schools Act (IASA). Because FY 2002 REAP activity was based on IASA provisions, the Department decided not to collect data until FY 2003.

The Local-Flex program and Transferability provisions were not in effect for FY 2002.

State Flexibility

Sources: Department of Education, Office of Elementary and Secondary Education, Approved State-Flex plans, local report cards, other records.

Additional Information: Under the State Flexibility Authority Program (State-Flex), SEAs must enter into local performance agreements with four to ten LEAs.

Federal Data Collection Burden

Source: Department of Education, Office of the Chief Information Officer, Program files.

Customer Service

Source: Department of Education, Survey on Satisfaction of Chief State School Officers.

Objective 1.3 Increase information and options for parents

Parents are their children's first and most important teachers. The Department is aggressively implementing the parental involvement, information, and options components of the No Child Left Behind Act (NCLB) and encouraging states and communities to provide additional educational choices for parents. States and districts are required to publish report cards that provide school performance information to parents. Under NCLB, children attending low-performing or unsafe schools now have the opportunity to attend better public schools (including charter schools) or use federal funds for private tutoring. Public school options, including charter schools, are strongly supported for all students, as are private school options for disadvantaged children. The Department is also working with Congress to embed greater parental choice, involvement, and information in all federal education programs, as well as within the tax code.

Strategies and Action Steps for Objective 1.3

Strategy A: Provide choices to children trapped in low-performing or unsafe schools

a. Provide technical assistance to ensure implementation of ESEA Title I public school choice provisions.

b. Provide technical assistance to ensure implementation of ESEA Title I supplemental services provisions.

c. Create a public-private partnership as one way to provide technical assistance to the states on implementing the ESEA Title I supplemental services requirements.

d. Develop and widely disseminate print and online publications that highlight innovative LEA approaches to implementing NCLB public school choice requirements and supplemental services requirements.

e. Promote the proposed education tax credit.

f. Encourage states and communities to provide additional choices to families through speeches and publications.

Strategy B: Support charter and magnet schools

a. Provide technical assistance to states and schools on effective and innovative special education approaches within charter schools.

b. Create additional charter school capacity through credit enhancement for charter school facilities to target resources to communities with a high proportion of schools in need of improvement under NCLB.

c. Develop and widely disseminate in-print and online publications highlighting what all public schools can learn from the best charter schools and how credit enhancement can support charter schools' acquisition of facilities in innovative ways.

d. Launch a comprehensive charter schools research agenda focused on charter schools' impact on student achievement.

e. Develop materials and conduct a series of workshops to provide charter schools with information on applying for federal funds.

f. Convene the National Charter Schools Conference.

g. Draw media attention to National Charter Schools Week.

h. Publish a monthly newsletter about the Department's charter school activities.

i. Develop and widely disseminate a publication that highlights successful magnet schools.

Strategy C: Expand choice in other federal programs

a. Work with Congress to gain funding for the Choice Incentive Fund program to support and research high-quality public, charter, and private alternatives for children in schools in need of improvement.

Strategy D: Provide information to parents about their educational options

a. Promote and develop a strategy and materials to improve communication and involvement of parents of English language learners.

b. Provide information and technical assistance to the public and private schools to promote equitable participation of private school students and teachers in federal education programs.

c. Explore the expansion of educational options for students using distance learning and e-learning programs.

d. Publish four new titles in the "Helping Your Child" series and disseminate them widely to parents, schools, and childcare providers.

e. Develop a national online clearinghouse of resources related to parental options in education, including a parent-friendly database to identify the range of public and private schools and supplemental educational services.

f. Through targeted outreach and marketing, partner with the Black Alliance for Educational Options to increase the number of parents and children who take advantage of the NCLB choice and supplemental services options in selected cities.

Strategy E: Require school report cards

a. Develop and issue guidance on school report cards; provide technical assistance to states to ensure implementation.

b. Develop and implement a coordinated campaign to publicize the report cards to parents, businesses, and other users.

c. Publish and disseminate a guide for states and the public, highlighting the best school performance information online, including state and private sites.

Strategy F: Inform legislative proposals emphasizing choice

a. Encourage congressional consideration of embedding options for parents in education legislation.

Parents can choose to send their children to better public schools or receive funding to pay for after-school tutoring or other academic help. No parent will have to settle year after year for schools that do not teach and will not change.

—Secretary Rod Paige

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Performance Measures for Objective 1.3

Objective 1.3: Increase Information and Options for Parents							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Information	The percentage of parents who report having the information they need to determine the effectiveness of their child's school.	NA	NA	NA	NA	Set baseline	Baseline + 5 PP
Parental Choice	The percentage of students in grades K–12 who are attending a school (public or private) that their parents have chosen.	15*	NA	NA	NA	19	20
	The number of children attending charter schools.	252,000	478,000	546,000	575,000	828,000	997,000
Supplemental Educational Services	Of eligible children, the percentage using supplemental educational services under the provisions of ESEA Title I.	NA	NA	NA	NA	Set baseline	Baseline + 5 PP

* Baseline
NA = Not available
PP = Percentage points
ESEA = Elementary and Secondary Education Act

Notes:

PARENTAL CHOICE

Sources: Center for Education Reform, *National Charter School Directory.*
Department of Education, National Center for Education Statistics, National Household Education Surveys Program (NHES).
Department of Education, *State of Charter Schools 2000: Fourth-Year Report.*
Department of Education, Title I Accountability Systems and School Improvement Efforts (TASSIE).

Additional Information: Students included in this indicator attend either a private school or a public school outside their regular attendance zone.

SUPPLEMENTAL EDUCATIONAL SERVICES

Source: Department of Education, Title I Accountability Systems and School Improvement Efforts (TASSIE).

Additional Information: Eligible children are low-income children who attend a school that is in "school improvement" status under ESEA Title I. This provision went into effect September 2002 for the 2002-03 school year. This equates with the Department's 2003 fiscal year; therefore, 2003 data will be used as the baseline.

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Objective 1.4 Encourage the use of scientifically based methods within federal education programs

Part of the cultural transformation needed in American education is the movement from instructional fads to a focus on scientifically based methods and interventions, as well as on rigorous research. This change is being addressed by Goal Four, which summarizes our key efforts to develop sound educational research. The Department is working to embed the best research in all our programs in order to ensure the use of methods that work and improve results for all students. The Department is also providing policymakers, educators, parents, and others with ready access to syntheses of research and objective information that allow more informed and effective decisions, and we are encouraging the use of this knowledge. To facilitate access to high-quality research, the Department is creating and regularly updating an online database of scientifically rigorous research on what works in education and creating user-friendly syntheses of quality research that include effective practices.

Strategies and Action Steps for Objective 1.4

Strategy A: Embed scientifically based research in all Department programs

a. Ensure that guidance and technical assistance for all programs reflect research-based instruction.

b. Continue to conduct program reviews to ensure that rehabilitation research meets rigorous standards for scientific and engineering methods and utilizes performance measurement to increase the likelihood that anticipated outcomes are achieved.

c. Expand collaborative relationships with other federal agencies to improve the quality of research in disability and rehabilitation and to build the National Institute on Disability and Rehabilitative Research (NIDRR) capacity for scientifically based research.

Strategy B: Disseminate information on evidence-based education

a. Disseminate a guide explaining what evidence-based education is.

b. Increase the number of content topics in the What Works Clearinghouse.

Strategy C: Inform legislative proposals emphasizing scientifically based research

a. Encourage congressional consideration of embedding scientifically based research in education legislation.

Performance Measures for Objective 1.4

Objective 1.4: Encourage the Use of Scientifically Based Methods within Federal Education Programs							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
What Works Clearinghouse	The number of hits on the What Works Clearinghouse Web site.	NA	NA	NA	NA	1M	4M

NA = Not available (There was no Web site.)
M = Million

Notes:

For FY 2004, prior measures have been dropped from this objective, and a measure has been moved from Objective 4.2. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

WHAT WORKS CLEARINGHOUSE

Source: Department of Education, Institute of Education Sciences. What Works Clearinghouse Web site, http://www.w-w-c.org/.

Additional Information: These targets have been modified from those that appear in the FY *2002–2007 Strategic Plan* to reflect that the Web site was launched in September 2002.

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Goal 2

31

2 Strategic Goal Two:

Improve Student Achievement

More and more, we are divided
into two nations.
One that reads, one that doesn't.
One that dreams, one that doesn't.

—President George W. Bush

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2

In education, the bottom line is student learning. As a result of the hard work of students, educators, parents, and leaders at the state and local levels, American students will dramatically improve their achievement in reading, mathematics, and science, while receiving a rich, well-rounded education. The Department is leading a national campaign to ensure that every child reads on grade level by third grade. Preschool and elementary school teachers throughout the nation are receiving training in the proven components of effective early reading instruction. To ensure that students become proficient in mathematics and science, the Department is establishing a broad collaboration among school districts, colleges and universities, and research institutions to improve the quality of instruction. The Department is also heading a campaign to improve the rigor of the high school curriculum and to design new options for adolescent students. Because student achievement depends on the effort of well-prepared teachers and school leaders, the Department is establishing initiatives to ensure that the supply of high-quality teachers and principals meets demand. Finally, to emphasize the need to strengthen the international knowledge and skills of our students, new Objective 2.5 has been added to this goal.

Approximately 50 percent of the Department's FY 2004 budget request will support Goal 2.

Objective 2.1

Ensure that all students read on grade level by the third grade.

Objective 2.2

Improve mathematics and science achievement for all students.

Objective 2.3

Improve the performance of all high school students.

Objective 2.4

Improve teacher and principal quality.

Objective 2.5

Improve U.S. students' knowledge of world languages, regions, and international issues and build international ties in the field of education.

Objective 2.1 Ensure that all students read on grade level by the third grade

President Bush and Congress set a goal through the No Child Left Behind Act that all children will read on grade level by third grade. To reach this goal, we must ensure that reading instruction is based on solid scientific research. A strong understanding of the five essential components of good reading instruction and the importance of early cognitive development is also essential. We are working to boost reading achievement for all students, including minority and low-income children, English language learners, and children with disabilities.

Strategies and Action Steps for Objective 2.1

Strategy A: Promote early cognitive development

a. Through the Education/Health and Human Services Early Childhood Task Force, develop and disseminate publications for parents and teachers on early childhood cognitive development.

b. Fund a new Center on Early Childhood Outcomes and Indicators, which will conduct an annual survey of states' efforts to identify child outcomes, performance indicators, and assessment methodologies to measure the progress of children from birth through age five who are served under IDEA.

c. Establish the Good Start, Grow Smart—Excellence in Early Childhood Awards program to recognize preschool centers of excellence that enhance the cognitive development of three- and four-year-olds to prepare them to enter kindergarten.

Strategy B: Publicize rigorous research on reading instruction

a. Continue to use a nationally recognized Reading First Expert Review Panel to review state applications and determine whether they meet all 25 rigorous review standards.

b. Provide information and technical assistance to state Migrant Education directors about research-based reading instruction.

c. Provide states with technical assistance and monitoring to ensure that Reading First plans are implemented as approved and in line with scientifically based reading research.

d. In coordination with the National Institute for Literacy, (1) create and disseminate products for teachers and parents that explain scientifically based reading research and its relevance to classroom instruction and home learning activities, and (2) disseminate reading research findings about the acquisition of reading skills to educators and school administrators and expand general knowledge about reading and scientifically based instruction.

Strategy C: Encourage early identification and intervention of reading difficulties

a. Emphasize the importance of implementing a high-quality research-based reading program in the Office for Civil Rights' minority and special education initiatives and complaint resolutions.

Strategy D: Ensure that English language learners (ELLs) meet rigorous standards

a. Provide information and technical assistance to state ESEA Title III directors about research-based reading instruction for ELLs.

b. Work proactively through the Office for Civil Rights to help districts develop good evaluation plans to ensure that language acquisition programs are research-based and that ELLs are meeting performance standards.

c. Conduct proactive outreach and technical assistance through the Office for Civil Rights specifically designed to encourage the parents of ELLs to actively participate in their children's education.

d. Provide technical assistance to tribes, schools, and tribal colleges serving Native American students to ensure that their program plans include activities to assess and report on the English language achievement of students.

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Performance Measures for Objective 2.1

Objective 2.1: Ensure That All Students Read on Grade Level by the Third Grade							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
State Reading Assessments	All Students. The number of states meeting their targets for third-grade reading achievement for all students.	NA	NA	NA	NA	45	45
	Low-Income Students. The number of states meeting their targets for third-grade reading achievement for low-income students.	NA	NA	NA	NA	45	45
	African American Students. The number of states meeting their targets for third-grade reading achievement for African American students.	NA	NA	NA	NA	45	45
	Hispanic Students. The number of states meeting their targets for third-grade reading achievement for Hispanic students.	NA	NA	NA	NA	45	45
	Students with Disabilities. The number of states meeting their targets for third-grade reading achievement for students with disabilities.	NA	NA	NA	NA	45	45
	English Language Learners. The number of states meeting their targets for third-grade reading achievement for English language learners.	NA	NA	NA	NA	45	45

NA = Not available

Note:

STATE READING ASSESSMENTS

Additional Information: Using the 2001-02 school year as a baseline, each state is required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002-03 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.)

When a state does not test students in the third grade, results from fourth- or fifth-grade assessments will be used instead.

State targets increase each year; therefore, maintaining a target of 45 states will present an increasing challenge.

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Objective 2.2 Improve mathematics and science achievement for all students

The U.S. Commission on National Security/21st Century confirmed that America's future depends on improvements in student achievement in mathematics and science. For this situation to improve, three goals must be met: (1) the public must understand and champion the need for rigorous mathematics and science coursework for all students, (2) teachers must be well prepared in their content areas as well as in pedagogy, and (3) research into how children learn mathematics and science must be available to practitioners in ways that inform them about effective practice. Every student deserves to have teachers who possess strong content knowledge in their areas of teaching, as well as effective strategies to engage all students. Mathematics and science teachers must have opportunities to remain current in their fields and to take advantage of new technologies to make their subject areas meaningful and engaging for their students. In addition, teachers and administrators need clear research findings to inform their instruction and influence their selection and implementation of programs, materials, and instruction.

Strategies and Action Steps for Objective 2.2

Strategy A: Support high-quality professional development

a. Provide technical assistance and guidance on high-quality professional development through the Mathematics and Science Partnership program in collaboration with the National Science Foundation.

b. Provide technical assistance and guidance on high-quality professional development in mathematics and science through the ESEA Title II program.

c. Provide technical assistance to state education technology directors to ensure that technology is used to support student achievement and accountability.

Strategy B: Use data to inform instruction

a. Support organizations that provide training to states and districts in using data to inform instruction.

b. Convene state officials to highlight effective data management systems that can be used to improve instruction.

c. Acquire data that enable us to compare the performance of U.S. students with that of their international peers and help us to understand strategies that produce high performers.

d. Provide technical assistance to Mathematics and Science Partnership Program grantees to help them use student assessment data to inform instruction.

Strategy C: Develop mathematics and science partnerships

a. Collaborate with the National Science Foundation to support high-quality professional development.

b. Provide guidance and assistance for state implementation of competitive mathematics and science partnership grants.

c. Partner with community-based, educational, and national children- and youth-serving business and scientific organizations to support effective mathematics and science instruction.

d. Create a public engagement campaign to establish high expectations for student course-taking and achievement in mathematics and science education.

Strategy D: Strengthen the research on mathematics and science instruction

a. Continue research programs on effective mathematics education, with a second round of IES grants to be awarded by June 2004.

b. Collaborate with the National Science Foundation and the National Institutes of Health to strengthen the research base on mathematics and science instruction.

In an uncertain world, it is paramount that America graduate greater numbers of young people who are strong in mathematics and science. Our future depends on them to lead the way in developing strategies and technologies that will keep us safe and prosperous for generations to come.

—Secretary Rod Paige

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Performance Measures for Objective 2.2

Objective 2.2: Improve Mathematics and Science Achievement for All Students							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
State Mathematics Assessments	All Students. The number of states meeting their targets for eighth-grade mathematics achievement for all students.	NA	NA	NA	NA	45	45
	Low-Income Students. The number of states meeting their targets for eighth-grade mathematics achievement for low-income students.	NA	NA	NA	NA	45	45
	African American Students. The number of states meeting their targets for eighth-grade mathematics achievement for African American students.	NA	NA	NA	NA	45	45
	Hispanic Students. The number of states meeting their targets for eighth-grade mathematics achievement for Hispanic students.	NA	NA	NA	NA	45	45
	Students with Disabilities. The number of states meeting their targets for eighth-grade mathematics achievement for students with disabilities.	NA	NA	NA	NA	45	45
	English Language Learners. The number of states meeting their targets for eighth-grade mathematics achievement for English language learners.	NA	NA	NA	NA	45	45

NA = Not available

Note:

STATE MATHEMATICS ASSESSMENTS

Additional Information: Using the 2001–02 school year as a baseline, each state is required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002–03 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.) When a state does not test students in the eighth grade, results from sixth- or seventh-grade assessments will be used instead.

State targets increase each year; therefore, maintaining a target of 45 states will present an increasing challenge.

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Objective 2.3 Improve the performance of all high school students

The demands of a competitive economy and a flexible workplace require every American youth to obtain solid academic preparation for an effective transition from high school to postsecondary education and to the workplace. Today's youth need strong academic skills in written and oral communication, mathematics and science, problem solving, and teamwork. Yet the National Assessment of Educational Progress shows 12th-grade achievement declining at the same time that the national dropout rate is increasing. American high schools must be held accountable for raising the academic achievement of all students. Our education system should also offer customized learning opportunities to adolescents, tapping into community colleges, education technology, and other nontraditional sources to boost learning and career preparation for students.

Strategies and Action Steps for Objective 2.3

Strategy A: Hold schools accountable for student achievement

a. By developing and expanding the State Scholars Initiative to include 21 states by 2005, create a culture of academic achievement supported by business-education partnerships that encourage all students to complete more academic courses beyond the minimum requirements for high school graduation.

b. Implement the Secondary Student Initiative for Migrant Children.

c. Work with interested states and private organizations to investigate ways to link high school graduation exams with postsecondary entrance requirements.

Strategy B: Encourage states and local school districts to improve the rigor of the high school curriculum

a. Promote expansion of Advanced Placement (AP) programs nationally, particularly in high schools with concentrations of low-income children, through better targeting of AP incentive funds and increased program outreach.

Strategy C: Strengthen research and development efforts focused on high schools

a. Through partnerships with other federal programs, as appropriate, promote the development of intervention strategies and methods to address the high incidence of learning disabilities and illiteracy among adolescents attending high schools.

Strategy D: Increase learning options for students

a. Support a new center to improve literacy results for secondary-school-aged children who are unresponsive to effective classroom or schoolwide programs.

b. Connect local school districts, higher education institutions, and faith-based and community organizations to family literacy programs and help these groups to become results oriented in addressing the needs of ELL populations.

c. As required by NCLB, issue guidelines through the Office for Civil Rights for local educational agencies seeking funding for programs to provide same-gender schools and classrooms.

d. Collaborate with National Institute for Child Health and Human Development (NICHD) on adolescent literacy study.

e. Provide information on effective strategies for older struggling readers.

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Performance Measures for Objective 2.3

Objective 2.3: Improve the Performance of All High School Students							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
State Reading Assessments	All Students. The number of states meeting their targets for high school reading achievement for all students.	NA	NA	NA	NA	45	45
	Low-Income Students. The number of states meeting their targets for high school reading achievement for low-income students.	NA	NA	NA	NA	45	45
	African American Students. The number of states meeting their targets for high school reading achievement for African American students.	NA	NA	NA	NA	45	45
	Hispanic Students. The number of states meeting their targets for high school reading achievement for Hispanic students.	NA	NA	NA	NA	45	45
	Students with Disabilities. The number of states meeting their targets for high school reading achievement for students with disabilities.	NA	NA	NA	NA	45	45
	English Language Learners. The number of states meeting their targets for high school reading achievement for English language learners.	NA	NA	NA	NA	45	45

NA = Not available

Note:

STATE READING ASSESSMENTS

Additional Information: Using the 2001-02 school year as a baseline, each state is required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002-03 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.)

State targets increase each year; therefore, maintaining a target of 45 states will present an increasing challenge.

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Objective 2.3: Improve the Performance of All High School Students (continued)							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
State Mathematics Assessments	All Students. The number of states meeting their targets for high school mathematics achievement for all students.	NA	NA	NA	NA	45	45
	Low-Income Students. The number of states meeting their targets for high school mathematics achievement for low-income students.	NA	NA	NA	NA	45	45
	African American Students. The number of states meeting their targets for high school mathematics achievement for African American students.	NA	NA	NA	NA	45	45
	Hispanic Students. The number of states meeting their targets for high school mathematics achievement for Hispanic students.	NA	NA	NA	NA	45	45
	Students with Disabilities. The number of states meeting their targets for high school mathematics achievement for students with disabilities.	NA	NA	NA	NA	45	45
	English Language Learners. The number of states meeting their targets for high school mathematics achievement for English language learners.	NA	NA	NA	NA	45	45

NA = Not available

Note:

STATE MATHEMATICS ASSESSMENTS

Additional Information: Using the 2001–02 school year as a baseline, states are required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002–03 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.) States may assess mathematics achievement in grade 10, 11, or 12.

State targets increase each year; therefore, maintaining a target of 45 states will present an increasing challenge.

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Objective 2.3: Improve the Performance of All High School Students (continued)							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Advanced Placement Participation	All Students. The percentage of all 12th-grade students who took at least one of the AP exams.	11.7	12.4	13.2	14.2	15	16
	African American Students. The percentage of all 12th-grade African American students who took at least one of the AP exams.	3.4	3.9	4.1	4.5	5	7
	Hispanic Students. The percentage of all 12th-grade Hispanic students who took at least one of the AP exams.	6.4	7.4	8.1	8.9	10	12
Advanced Placement Achievement	English. The percentage of all 12th-grade students who scored 3 or higher on at least one of the AP English exams.	4.2	4.5	4.4	4.8	5.9	6.4
	History. The percentage of all 12th-grade students who scored 3 or higher on the AP American history exam.	0.20	0.27	0.25	0.29	0.40	0.45
	Calculus. The percentage of all 12th-grade students who scored 3 or higher on at least one of the AP calculus exams.	2.8	2.9	3.1	3.4	4.4	4.9
	Science. The percentage of all 12th-grade students who scored 3 or higher on at least one of the AP science exams.	2.1	2.3	2.3	2.6	3.6	4.1
High School Completion	Total. The percentage of 18-24 year-olds who have completed high school.	85.9*	86.5	P	P	86.5	87.5
	African Americans. The percentage of 18-24 year-old African Americans who have completed high school.	83.5*	83.7	P	P	84.5	85.5
	Hispanic Americans. The percentage of 18-24 year-old Hispanic Americans who have completed high school.	63.4*	64.1	P	P	66.0	69.0

* Baseline
P = Pending

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Notes:

For FY 2004, targets have been changed for one measure. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

ADVANCED PLACEMENT PARTICIPATION

Sources: The College Board, Advanced Placement Program.
Department of Education, National Center for Education Statistics, *Digest of Education Statistics*, 2001.
Department of Education, National Center for Education Statistics, Private School Universe Survey: 1999–2000.
Department of Education, National Center for Education Statistics, *Projections of Education Statistics to 2012*.

Additional Information: These targets demonstrate a narrowing of the AP participation rate gaps (between all individuals and African Americans/Hispanic Americans) by half. The denominator is the universe of all 12th-grade students in the United States.

ADVANCEMENT PLACEMENT ACHIEVEMENT

Sources: The College Board, Advanced Placement Program.
Department of Education, National Center for Education Statistics, *Digest of Education Statistics*, 2001.
Department of Education, National Center for Education Statistics, Private School Universe Survey: 1999–2000.
Department of Education, National Center for Education Statistics, *Projections of Education Statistics to 2012*.

Additional Information: English exams include AP English Literature and Composition and AP English Language and Composition. Calculus exams include AP Calculus AB and AP Calculus BC. Science exams include AP Biology, AP Chemistry, AP Environmental Science, AP Physics B, AP Physics C (Electricity and Magnetism), and AP Physics C (Mechanics). The denominator is the universe of all 12th-grade students in the United States.

HIGH SCHOOL COMPLETION

Source: U.S. Department of Commerce, Bureau of the Census, Current Population Survey.

Additional Information: Because of small sample sizes, American Indian/Alaskan Natives and Asian/Pacific Islanders are included in the total, but separate targets are not set for these groups.

These targets demonstrate a narrowing of the high school completion gaps (between all individuals and African Americans/Hispanic Americans) by half.

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Objective 2.4 Improve teacher and principal quality

President Bush has called for a "quality teacher" in every classroom. He has said, "Education reform is empty if it does not take account of the needs of educators. Teachers are not the objects of education reform. They are the engines of education reform. They have a high calling, and we must respect it." Because of the vital role that teachers play in the lives of our children, the No Child Left Behind Act requires that all teachers of core academic subjects be highly qualified by the end of the 2005-06 school year. We are working hard to meet this goal, by supporting states in their efforts to recruit new, highly qualified teachers and to provide current teachers with access to rigorous professional development. This is especially important in schools where many children have been left behind. In addition, we are working to strengthen the leadership corps because we know from research and experience that strong principals are essential for improving student achievement.

Strategies and Action Steps for Objective 2.4

Strategy A: Reduce barriers to teaching for highly qualified individuals

a. Complete guidance on ESEA Title II and provide technical assistance to the states, especially on how they can use their funds to streamline their certification systems and support alternate routes to certification.

b. Work with teacher recruitment grantees, and partnership grantees under Title II of the Higher Education Act (HEA) to increase alternate routes to certification and streamline teacher preparation programs and base them on research.

c. With a combination of Department and private funds, create a national center to provide technical assistance to alternative certification programs.

d. Convene the first national meeting on alternate routes to teacher certification to encourage Department grantees and other organizations to share information and promising practices.

e. Actively promote the Department's loan-forgiveness program for teachers in high-poverty schools.

f. Drawing on the Troops-to-Teachers and Transition to Teaching programs, develop and widely disseminate a publication (in print and online) that highlights innovative methods of recruiting and training nontraditional teachers through alternate routes into the profession.

g. Develop and implement a plan for recruiting international teachers to increase the number of qualified teachers prepared to teach in dual-language programs.

Strategy B: Improve the quality of teacher preparation programs

a. Support statewide models of personnel preparation to ensure that highly qualified teachers serve children with disabilities and to disseminate their best practices nationally.

b. Promote induction and mentoring programs for new teachers to ensure high quality and content expertise through speeches, conferences, and publications.

c. Collaborate with colleges of education on specific projects to train their faculty on research-based practices, particularly research-based reading instruction, and to help identify ways to ensure that their graduates have strong content knowledge in the subjects they teach.

Strategy C: Support professional development in research-based instruction

a. Provide technical assistance to the states, through Title II of ESEA, in research-based professional development, as well as professional development using technology to improve instruction.

b. Under IDEA, award grants for professional development projects of national significance that use research-based practices.

c. To improve teacher and administrator quality in adult education programs, offer institutes, models, and other forms of technical assistance that enable state and local providers to put the findings of research into practice.

d. Host a professional development institute for adult education, incorporating current knowledge and findings of Adult Basic Education (ABE) and English as a Second Language (ESL) studies.

e. Conduct regional institutes for states to revise their professional development plans for technical education teachers to include research-based practices, especially in mathematics and science.

f. Provide technical assistance to states, schools, and institutions of higher education (IHEs) to ensure that they are providing research-based professional development for teachers of ELLs.

Strategy D: Strengthen the research base

a. Use ESEA Title II evaluation funds to support rigorous studies of effective interventions related to professional development and teacher quality.

Strategy E: Develop new leadership training models

a. Host an Educational Leadership Summit to examine effective recruitment, development, and retention of high-quality school leaders.

b. Develop and widely disseminate a publication (in print and online) that highlights innovative alternative routes to school leadership for nontraditional candidates.

c. Provide technical assistance to the states through ESEA Title II in developing high-quality recruitment and professional development models for school leaders.

Performance Measure for Objective 2.4

Objective 2.4: Improve Teacher and Principal Quality							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Highly Qualified Teachers	Percentage of the nation's teachers of core academic subjects that are ***highly qualified*** as defined by NCLB.	NA	NA	NA	NA	NM	Set baseline

NA = Not available
NM = New measure for FY 2004; not a measure for FY 2003

Notes:

For FY 2004, a new measure has been added. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

HIGH-QUALITY TEACHERS

Additional Information: The definition of *highly qualified* teacher from Section 9302 of the ESEA will be used. This is a new indicator beginning in FY 2004.

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Objective 2.5

Improve U.S. students' knowledge of world languages, regions, and international issues and build international ties in the field of education

For the United States to ensure its national security and international leadership position and to continue to compete successfully in a global economy, our young people need to understand the increasingly complex and interconnected world in which we live. Yet, according to recent studies, vast numbers of U.S. citizens—particularly young Americans—know little about international matters. Secretary Paige has directed the Department to strengthen and expand its international ties and to do a better job of exposing our students to other languages, cultures, and challenges outside our borders. This new objective encourages our work with partners in this country and abroad to strengthen the international knowledge and skills of our students.

Strategies and Action Steps for Objective 2.5

Strategy A: Strengthen K–12 programs on world languages, regions, and international issues

a. Encourage the teaching of second languages in the early grades through speeches, publications, and collaboration with states, districts, and non-governmental organizations in order to expand the number of individuals proficient in languages other than English.

b. Support partnerships of postsecondary and K–12 educational institutions to promote learning about other world regions, languages, international issues, and the role of the United States in the world, through HEA reauthorization and other means.

c. Participate as an active partner in the National Coalition on Asia and International Studies in the Schools and engage in ongoing dialogue and cooperation with states, districts, and other partners.

Strategy B: Highlight the importance of international education among the general public and education policymakers at all levels

a. Establish and administer the Secretary's Excellence in Teaching International Studies Award to recognize annually educators who excel in teaching international skills to their students.

b. Coordinate and promote International Education Week events and activities in cooperation with the Department of State.

c. Work with the Department of State and others to ensure that the United States reenters the United Nations Educational, Scientific and Cultural Organization (UNESCO) in a manner that promotes the national interest and reflects the input of the U.S. education sector.

Performance Measures for Objective 2.5

Objective 2.5: Improve U.S. Students' Knowledge of World Languages, Regions, and International Issues and Build International Ties in the Field of Education

Measures		Performance Data						Targets	
		1990	1994	1999	2000	2001	2002	2003	2004
Foreign Language Enrollment	Percentage of public secondary school (grades 9–12) students enrolled in foreign-language courses.	37.5	41.0	NA	NA	NA	NA	NM	43.0
Study Abroad	Number of U.S. postsecondary students studying abroad.	NA	NA	NA	143,590	154,168	NA	NM	164,000

NA = Not available
NM = New measure for FY 2004; not a measure for FY 2003

Notes:

For FY 2004, new measures have been added for this new objective. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

Foreign Language Enrollment
Sources: American Council on the Teaching of Foreign Language (ACTFL), Foreign Language in U.S. Public High Schools Survey.
Department of Education, National Center for Education Statistics, *2001 Digest of Education Statistics*, Table 57.

Study Abroad
Source: Institute of International Education, Open Doors Survey. www.opendoorsweb.org.

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Goal 3

3 Strategic Goal Three:

Develop Safe Schools and Strong Character

Character not only strengthens the individual, it strengthens America.

—First Lady Laura Bush

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3

The war on terrorism has created a new environment in which we must ensure that our children are safe from threats, both foreign and domestic. The Department is working to maintain a safe and drug-free environment in which every child can learn. In addition, as the President has said, "Teaching is more than training, and learning is more than literacy. Our children must be educated in reading and writing—but also in right and wrong." He quoted Martin Luther King Jr., who said, "Intelligence plus character—that is the true goal of education." We are focusing the nation's education system on our children's hearts, as well as their minds.

Approximately 1 percent of the Department's FY 2004 budget request will support Goal 3.

Objective 3.1

Ensure that our nation's schools are safe and drug free and that students are free of alcohol, tobacco, and other drugs.

Objective 3.2

Promote strong character and citizenship among our nation's youth.

Objective 3.1 Ensure that our nation's schools are safe and drug free and that students are free of alcohol, tobacco, and other drugs

Teaching and learning to the high standards demanded in the No Child Left Behind Act require that our nation's schools be safe and that our students abstain from the use of alcohol, tobacco, and other drugs. To ensure that our schools are safe and our students are drug free, activities supported by the Department of Education will focus on four areas: using best practices; collecting and disseminating data, coordinating efforts, and effectively addressing safe school priorities.

Strategies and Action Steps for Objective 3.1

Strategy A: Focus on results and progress

a. Develop nonregulatory guidance on implementation of the Safe and Drug-Free Schools and Community Act (SDFSCA) State Grants program to emphasize provisions about scientifically based research and expanded data collection requirements.

b. Develop and publish an annual report on school safety.

c. Hold a conference of SDFSCA grantees and others working on safe-school issues to promote the adoption of effective strategies for creating safe and drug-free schools and preparing for crises.

d. Award grants to help local educational agencies (LEAs) adopt and implement drug-testing programs for students that are based on best practices.

e. Award grants to support implementation of research-based practices to prevent high-risk drinking and violent behavior among college students.

Strategy B: Disseminate information on best practices

a. Disseminate information regarding best drug-testing practices to school districts.

b. Ensure that all principal offices that provide technical assistance to school districts and postsecondary education institutions on issues of harassment include Department-identified best practices.

c. Provide information and support to personnel, parents, and students in crisis response; coordinate with local emergency responders, including fire and police; purchase equipment; and coordinate with groups and organizations responsible for recovery issues, such as health and mental-health agencies.

d. Hold training sessions for school security chiefs at the nation's largest school districts and provide them with information on best practices for dealing with threats and with bioterrorism attacks.

e. In partnership with the Bureau of Alcohol, Tobacco, and Firearms, disseminate the Bomb Threat Manual to every school district in the country.

Strategy C: Develop and revise school safety plans to reflect new threats

a. Develop and announce model safe school plans grant program.

b. Develop model school crisis plan to serve as models for school districts.

Performance Measures for Objective 3.1

Objective 3.1: Ensure That Our Nation's Schools Are Safe and Drug Free and That Students Are Free of Alcohol, Tobacco, and Other Drugs

Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Violent Crime at School	The rate of violent crimes experienced at school by students ages 12–18.	33/1000•	26/1000	P	P	24/1000	23/1000
	The rate of serious violent crimes experienced at school by students ages 12–18.	7/1000•	5/1000	P	P	4/1000	4/1000
Drug Use	Alcohol. The percentage of youth ages 12–17 who reported using alcohol in the past 30 days.	16.5	16.4•	17.3	P	†	14
	Tobacco (cigarettes). The percentage of youth ages 12–17 who reported smoking a cigarette in the past 30 days.	14.9	13.4•	13.0	P	†	11
	Marijuana. The percentage of youth ages 12–17 who reported using marijuana in the past 30 days.	7.2	7.2•	8.0	P	7	7

• Baseline
† See "Targets" section on the following page.
P = Pending

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Notes:

For FY 2004, some measures have been dropped, others revised and some targets have been changed. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

Violent Crime at School

Sources: U.S. Department of Justice, Bureau of Justice Statistics, National Crime Victimization Survey, 1999.
U.S. Departments of Education and Justice, *Indicators of School Crime and Safety*, 2002.

Additional Information: "Serious violent crime" includes rape, sexual assault, robbery, and aggravated assault. "Violent crime" includes serious violent crime and simple assault. "Serious violent crime" is a subset of "violent crime." These data are collected annually and are analyzed and released two years after collection.

Drug Use

Sources: The Substance Abuse and Mental Health Services Administration, The National Household Survey on Drug Abuse (through 2000).
The Substance Abuse and Mental Health Services Administration, The National Survey on Drug Use and Health (beginning 2001).

Targets: The FY 2003 target for the use of alcohol is 12.2 percent, as previously set in the 2002–2003 Annual Plan. The FY 2004 target reflects a change from the Strategic Plan based on trend data that showed that previous targets were unrealistic.
The FY 2003 target for the use of tobacco is 10.3 percent, as previously set in the 2002–2003 Annual Plan. The FY 2004 target reflects a change from the Strategic Plan based on trend data that showed that previous targets were unrealistic.

Additional Information: National Household Survey on Drug Abuse (NHSDA) data are validated by the Substance Abuse and Mental Health Services Administration. Data are updated annually. The NHSDA interviews approximately 70,000 people 12 years old or older, in every state, over a 12-month period. Because of the size of the sample, it is possible to make relatively precise estimates of many variables of major interest.

Objective 3.2 Promote strong character and citizenship among our nation's youth

The Department is building on our nation's rekindled spirit of community and patriotism to launch a national campaign to promote character development and citizenship in our youth. We are also highlighting programs and schools that have demonstrated evidence of improved student safety and the development of character in their students.

Strategies and Action Steps for Objective 3.2

Strategy A: Support and evaluate comprehensive character education strategies

a. Fund projects that support school implementation of comprehensive character education and include rigorous evaluations.

b. Provide technical assistance to current Partnerships in Character Education grantees and other entities on issues including evaluation, training, and collaborative strategies.

Strategy B: Partner with faith-based and community organizations

a. Issue regulations through the Office for Civil Rights implementing the Boy Scouts of America Equal Access Act to provide equal access for Boy Scouts and other patriotic organizations.

b. Encourage Historically Black Colleges and Universities (HBCUs) to strengthen existing work with faith-based and community organizations to promote strong character and safe schools.

Strategy C: Promote awareness of character education

a. Disseminate new character education booklet in the "Helping Your Child" series to parents and childcare providers.

b. Develop and disseminate materials to promote and support character education.

c. Highlight character education strategies at the Office of Safe and Drug-Free Schools (OSDFS) fall conference.

Strategy D: Promote the teaching of citizenship education

a. Award grants to support adult and student interaction in citizenship activities.

b. Award grants to assist teachers in developing countries to create programs for their students that emphasize democratic principles and citizen participation.

Performance Measures for Objective 3.2

Objective 3.2: Promote Strong Character and Citizenship Among Our Nation's Youth							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Community Service	Percentage of students in grade 12 who participate in community service or volunteer work.	75.3	75.2	77.4	P	81	83
Respect for Teachers	Percentage of students in grade 12 who would dislike it if a student intentionally did things to make his/her teachers angry.	33.6	32.1	30.6	P	34	36
Cheating	Percentage of students in grade 12 who think that most students in their classes would dislike it if a student cheated on a test.	14.8	12.2	13.5	P	17	19
	Percentage of 14- to 18-year-olds who believe cheating occurs by half or most students.	43	41*	NA	NA	39	38

* Baseline
NA = Not available

Notes:

For FY 2004, some measures have been revised, others have been added and some targets have been changed. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

COMMUNITY SERVICE
Source: University of Michigan, Survey Research Center. Monitoring the Future.

RESPECT FOR TEACHERS
Source: University of Michigan, Survey Research Center. Monitoring the Future.

CHEATING
Source: University of Michigan, Survey Research Center. Monitoring the Future.
Horatio Alger Association. State of Our Nation's Youth Survey.

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Goal 4

4 Strategic Goal Four:

Transform Education into an Evidence-Based Field

If teachers, schools, and states are going to be held accountable for raising student achievement, they need tools that will allow them to identify and utilize effective practices and programs.

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—Director Grover J. (Russ) Whitehurst
Institute of Education Sciences

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Unlike medicine, agriculture, and industrial production, the field of education currently operates largely on the basis of ideology and professional consensus. As such, education can be subject to fads, and its practices may not benefit from the cumulative progress that follows from the application of the scientific method and from the systematic collection and use of objective information in policymaking. We are driving the focus of education toward an evidence-based enterprise, by dramatically improving the quality and relevance of research funded or conducted by the Department. We are also encouraging the use of this knowledge (particularly within federal education programs, as explained in Objective 1.4).

Approximately 1 percent of the Department's FY 2004 budget request will support Goal 4.

Objective 4.1

Raise the quality of research funded or conducted by the Department.

Objective 4.2

Increase the relevance of our research to meet the needs of our customers.

Objective 4.1 Raise the quality of research funded or conducted by the Department

The Department is a primary source of funding for educational research. Thus, we have an opportunity and an obligation to ensure that the research funded, conducted, or published by the Department is of the highest quality. We are developing and enforcing rigorous standards, overhauling the peer-review process, and focusing the Department's research activities on topics of greatest relevance to educational practitioners.

Strategies and Action Steps for Objective 4.1

Strategy A: Develop and utilize rigorous standards

a. Initiate fellowship programs at universities to improve the preparation of education researchers by using well-designed training programs and by attracting scientists and scholars from various relevant disciplines into education research.

b. Continue to ensure that research initiatives meet high standards by preparing program announcements that specify in detail the standards that must be met in research design and methods.

Strategy B: Improve peer review of research proposals

a. Select highly qualified reviewers for all review panels to ensure rigorous high-quality evaluations.

The current nationwide emphasis on ensuring that all students and schools achieve at high levels has increased the demand for sound evidence regarding "what works" in education.

—Director Grover J. (Russ) Whitehurst
Institute of Education Sciences

Performance Measures for Objective 4.1

Objective 4.1: Raise the Quality of Research Funded or Conducted by the Department							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Quality as Judged by Independent Review	Projects. The percentage of new IES and OSEP research and evaluation projects funded by the Department that are deemed to be of high quality by an independent review panel of qualified scientists.	NA	NA	40*	53	90	95
	Publications. The percentage of new IES and OSEP research and evaluation publications that are deemed to be of high quality by an independent review panel of qualified scientists.	NA	NA	0*	100	†	95
Use of Randomized Experimental Designs	Projects. Of new IES and OSEP research and evaluation projects that address causal questions, the percentage that employ randomized experimental designs.	NA	NA	46*	78	†	75
	Publications. Of IES and OSEP new research and evaluation publications that address causal questions, the percentage that describe studies that employ randomized experimental designs.	NA	NA	0*	100	†	75

* Baseline
† See "Targets" below.

IES = Institute for Education Sciences
OSEP = Office of Special Education Programs
NA = Not available

Notes:

QUALITY AS JUDGED BY INDEPENDENT REVIEW

Source: Department of Education, Institute of Education Sciences (IES).

Targets: As previously set in the *2002-2003 Annual Plan*, the FY 2003 target for the percentage of publications that are deemed to be of high quality by an independent review panel of qualified scientists is 50%, which was determined by adding 50 percentage points to the 2001 baseline. The actual 2002 data significantly exceeded that target.

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Additional Information: These measures include all research and evaluation studies initiated by the Institute of Education Sciences (IES) and the Office of Special Education Programs (OSEP). The independent review panel referred to here is different from the peer-review panels that oversee the selection of projects. This panel will be convened at the close of the fiscal year and will review projects and publications after the fact as a way to judge the effectiveness of the Department's quality control mechanisms.

Use of Randomized Experimental Designs

Source: Department of Education, Institute of Education Sciences (IES).

Targets: As previously set in the *2002–2003 Annual Plan*, the FY 2003 target for the percentage of projects that employ randomized experimental designs is 71 percent, which was determined by adding 25 percentage points to the 2001 baseline. The actual 2002 data significantly exceeded that target.

As previously set in the *2002–2003 Annual Plan*, the FY 2003 target for the percentage of publications that describe studies that employ randomized experimental designs is 25 percent, which was determined by adding 25 percentage points to the 2001 baseline. The actual 2002 data significantly exceeded that target.

Additional Information: These measures include all research and evaluation studies that address causal questions. IES researchers evaluate all newly funded research proposals. Evaluators are external experts qualified in research and content areas. An inter-rater reliability check is done in which two researchers independently evaluate a subset of proposals and products to ensure the validity and reliability of data. An agreement factor of 96 percent minimizes threats to the validity and reliability of data.

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Objective 4.2 Increase the relevance of our research in order to meet the needs of our customers

The Department is gathering information to more clearly understand the needs of our primary customers—federal, state, and local policymakers; educators; parents; and individuals with disabilities—to ensure that our research is relevant to their needs. The Department is making a commitment to the public that high-quality research—whether or not it is funded by the Department—will be synthesized, publicized, and disseminated widely (see Objective 1.4).

Strategies and Action Steps for Objective 4.2

Strategy A: Increase focus and allocate resources in response to needs

a. Initiate research on effective mathematics education, teacher quality, and social and character development.

b. Continue support for existing research on preschool curriculum evaluation, reading comprehension and cognition, and student learning.

c. Conduct research and evaluation studies to address questions of impact and effectiveness with regard to ELL issues.

Strategy B: Obtain input from stakeholders

a. Obtain input from research experts and practitioners on the design and conduct of research and evaluation studies.

Performance Measures for Objective 4.2

Objective 4.2: Increase the Relevance of Our Research in Order to Meet the Needs of Our Customers							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Relevance as Judged by Independent Review	The percentage of new research projects funded by the Department that are deemed to be of high relevance to educational practice as determined by an independent review panel of qualified practitioners.	NA	NA	24*	53	54	75

* Baseline
NA = Not available

Notes:

For FY 2004, one measure has been dropped from this objective and one moved to Objective 1.4. Some targets have been changed. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107

Relevance as Judged by Independent Review
Source: Department of Education, Institute of Education Sciences (IES).

Additional Information: The independent review panel referred to here is different from the peer-review panels that oversee the selection of projects. This panel will be convened at the close of the fiscal year and will review projects and publications after the fact as a way to judge the effectiveness of the Department's quality control mechanisms.

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Goal 5

5 Strategic Goal Five:

Enhance the Quality of and Access to Postsecondary and Adult Education

To ensure that all our citizens have the knowledge and skills necessary to meet national goals and to ensure individual economic success, the President is committed to providing equal access to quality postsecondary education for all Americans.

—Assistant Secretary for Postsecondary Education
Sally L. Stroup

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The Department provides support for enhancing both the quality of and access to postsecondary and adult education and employment in multiple ways. The Department's programs provide financial aid to increase access to postsecondary education, help institutions of higher education improve their quality, provide mentoring and tutoring services to help students master the knowledge needed to get into and complete college, inform middle- and high-school students about what it takes to go to college, continue to provide support to help people with disabilities achieve employment, and provide support to adults in meeting more basic educational needs. The Department is working to improve the effectiveness of all institutions, including four-year colleges and universities, community colleges, technology-based programs, and others. In addition, in new Objective 5.6, the Department will strengthen the capacity of institutions to meet the need for U.S. experts in foreign languages, area studies, and international issues. This year the Department is proposing legislation for the reauthorization of the Higher Education Act to ensure that our nation's students have access to high-quality higher education and are prepared for employment in a competitive marketplace.

Approximately 41 percent of the Department's FY 2004 budget request will support Goal 5.

Objective 5.1

Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all.

Objective 5.2

Strengthen accountability of postsecondary education institutions.

Objective 5.3

Establish effective funding mechanisms for postsecondary education.

Objective 5.4

Strengthen Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities.

Objective 5.5

Enhance the literacy and employment skills of American adults.

Objective 5.6

Increase the capacity of U.S. postsecondary education institutions to teach world languages, area studies, and international issues.

Objective 5.1 Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all

The economy of the 21st century requires that more workers than ever develop skills and master knowledge beyond the high school level. Although progress has been made over the years to increase participation and graduation levels for all individuals, large gaps still exist between low-income students and middle- and high-income students, between minority and nonminority students, and between students with disabilities and their nondisabled peers. The Department is working to improve the performance of all students through its student financial-aid and institutional-aid programs. In addition, the Department is continuing its efforts to enhance preparation for college, increase knowledge about college preparation and financial aid availability, and improve college support services for students from all economic and social backgrounds. The Department is also aggressively implementing the President's New Freedom Initiative.

Strategies and Action Steps for Objective 5.1

Strategy A: Enhance efforts to prepare low-income and minority youth for college

a. Implement changes in the Upward Bound competition to improve program effectiveness by targeting higher-risk students and providing work-study positions.

b. Provide technical assistance to Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP), Upward Bound, Talent Search, Education Opportunities Centers grantees, and prospective faith-based applicants to improve outreach to students and parents about academic preparation for college, college entrance requirements and costs, and financial aid availability.

c. Provide technical assistance and support to College Assistance Migrant Program (CAMP) grantees on effective practices that lead to retention and graduation.

Strategy B: Promote access to postsecondary education and successful transition to the workforce

a. Develop and disseminate information about best practices for using Web-based distance learning to increase access to high-quality postsecondary education.

b. Identify requisite skills and knowledge for making a successful transition between high school and community colleges, as well as strategies for enhancing successful completion of programs for students enrolled in community colleges and their transition to four-year programs.

c. Identify and disseminate information on effective transitional practices, developed by community colleges for adult learners, that improve the rate at which adult basic education students make a successful transition into community college academic and technical programs.

d. Develop, identify, and highlight unified state adult education delivery systems that effectively coordinate the efforts of state and local offices, agencies, and providers to offer fully articulated adult basic skills services.

e. In cooperation with the National Institute for Child Health and Human Development (NICHD), strengthen the mathematics skills of adult basic education participants through the identification of effective mathematics instructional models and through college development and remediation efforts.

f. Through the Labor Market Responsiveness Initiative, identify and disseminate effective practices, indicators, and measures that community colleges have established to respond immediately to changes in the economy and workforce demographics.

Strategy C: Provide support to students with disabilities

a. Develop new initiatives to advance the President's New Freedom Initiative.

b. Identify and complete the Office for Civil Rights' enforcement initiatives that help parents, students, and schools assist students with disabilities in making an effective transition from high school to college.

c. Identify factors in secondary school and postschool experiences of youth with disabilities that contribute to positive results through the National Longitudinal Transition Study.

d. Conduct rigorous evaluations of educational supports that contribute to the completion of postsecondary programs and workplace success for students with disabilities.

e. Develop and distribute a practical guide to help students with disabilities make the transition from high school to postsecondary education and employment.

Performance Measures for Objective 5.1

Objective 5.1: Reduce the Gaps in College Access and Completion among Student Populations Differing by Race/Ethnicity, Socioeconomic Status, and Disability While Increasing the Educational Attainment of All

Measures		Performance Data					Targets	
		1998*	1999	2000	2001	2002	2003	2004
College Enrollment	The percentage of 16- to 24-year-old high school graduates enrolled in college the October following high school graduation.							
	Overall	65.6	62.9	63.3	61.7	P	64.1	64.5
	White	68.5	66.3	65.7	64.2	P	67.0	67.1
	African American	61.9	58.9	54.9	54.6	P	60.3	61.0
	White–African American Gap	6.6	7.4	10.8	9.6	P	6.7	6.1
	Hispanic	47.4	42.2	52.9	51.7	P	51.5	53.1
	White–Hispanic Gap	21.1	24.1	12.8	12.5	P	15.5	14.0
	Low Income	46.4	49.4	49.7	43.8	P	53.5	56.6
	High Income	77.3	76.0	77.1	79.8	P	77.0	77.1
	Income Gap	30.9	26.6	27.4	36.0	P	23.5	20.6
College Graduation (4-Year Institutions)	The percentage of full-time, bachelor's degree-seeking students who graduate within six years.							
	Overall	52.6	53.0	52.4	P	P	53.1	53.6
	White	55.8	56.0	55.4	P	P	56.1	56.2
	African American	34.5	35.4	35.7	P	P	38.9	40.9
	White–African American Gap	21.3	20.6	19.7	P	P	17.2	15.3
	Hispanic	39.1	40.9	41.5	P	P	42.5	44.1
	White–Hispanic Gap	16.7	15.1	13.9	P	P	13.6	12.1
Completions (2-Year Institutions)	The percentage of full-time degree- or certificate-seeking students who graduate, earn a certificate, or transfer from two-year institutions within three years.							
	All	32.2	34.4	32.7	P	P	32.7	33.0
	White	33.8	35.3	34.0	P	P	34.1	34.2
	African American	25.1	29.5	26.5	P	P	27.0	27.8
	White–African American Gap	8.7	5.8	7.5	P	P	7.1	6.4
	Hispanic	29.9	32.5	30.1	P	P	30.8	31.2
	White–Hispanic Gap	3.9	2.8	3.9	P	P	3.3	3.0

* Baseline
P = Pending

Notes:

See next page.

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Objective 5.1: Reduce the Gaps in College Access and Completion Among Student Populations Differing by Race/Ethnicity, Socioeconomic Status, and Disability While Increasing the Educational Attainment of All (continued)

Measures		Performance Data					Targets	
		1998	1999	2000	2001	2002	2003	2004
	The percentage of families who plan to help child pay for his/her education after high school.	NA	NA	NA	NA	NA	NM	Set baseline
Paying for College	The percentage of families who believe they have enough information about the amount needed for college or vocational school to start planning how to pay for child's education.	NA	NA	NA	NA	NA	NM	Set baseline

NM = New measure for FY 2004; not a measure for FY 2003

Notes:

For FY 2004, some measures have been dropped from this objective, others have been revised, and others have been added. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

COLLEGE ENROLLMENT

Source: U.S. Census Bureau, October Current Population Survey.

Additional Information: These projections illustrate a goal of cutting the various gaps in half from 2002 to 2007.

COLLEGE GRADUATION; COMPLETIONS

Source: Department of Education, National Center for Education Statistics, Graduation Rate Survey (GRS) as part of the Integrated Postsecondary Education Data System (IPEDS).

Additional Information: These projections illustrate a goal of cutting the various gaps in half from 2002 to 2007.

PAYING FOR COLLEGE

Source: Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

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Objective 5.2 Strengthen accountability of postsecondary education institutions

Although American institutions of higher education are among the best in the world, the public and many policymakers are especially concerned about the effectiveness of postsecondary education institutions in two areas: preparing high-quality teachers and completing the education of students within a reasonable time. An effective strategy for ensuring that institutions are held accountable for results is to make information on student achievement and attainment available to the public. In this way, prospective students will be able to make informed choices about where to attend college and how to spend their tuition dollars.

Addressing widespread concern about the quality of new teachers, Congress established an accountability system for teacher preparation programs in Title II of the Higher Education Act (HEA) when reauthorizing this Act in 1998. This system provides basic information on the quality of teacher program completers. Public and congressional critics of this system note, however, that it needs to be strengthened to produce information that is more useful to the public and policymakers. As part of the next reauthorization of HEA, the Department will recommend refinements to this system.

Congress has also addressed concerns about the effectiveness of postsecondary education institutions in graduating students in a timely fashion. In amendments to the HEA in 1992, Congress required institutions of higher education to report the proportions of their students who complete their educational programs. Critics have pointed out that these measures are not effectively integrated into accountability systems in most states and thus are not routinely used in evaluating postsecondary education institutions. In the upcoming reauthorization, the Department will propose steps to strengthen the usefulness of these measures. Successfully meeting this objective will require the cooperation of the postsecondary community, the states, and Congress.

Strategies and Action Steps for Objective 5.2

Strategy A: Refine accountability systems to support the Higher Education Act (HEA)

a. Ensure accountability in the HEA Title II reporting system while improving the data quality and reducing the reporting burden.

b. Develop an Office of Postsecondary Education (OPE) Monitoring and Performance Tracking System to provide enhanced automated tracking of the status of all grants as well as an early alert warning system for potential problems with grantees.

Performance Measures for Objective 5.2

Objective 5.2: Strengthen Accountability of Postsecondary Education Institutions							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Report Submission	The percentage of states and territories submitting HEA Title II reports with all data reported using federally required definitions.	NA	NA	63*	80	100	100

*Baseline
NA = Not available
HEA = Higher Education Act

Notes:

For FY 2004, one measure has been dropped from this objective. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

Report Submission

Source: Department of Education, National Center for Education Statistics, HEA Title II Data System, *The Secretary's Annual Report on Teacher Quality.*

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Objective 5.3 Establish effective funding mechanisms for postsecondary education

The financing of postsecondary education continues to be a challenge for many students and their families. According to the College Board, the average costs of attendance for 2002–03 are $18,273 for four-year private institutions (up 5.8 percent from the previous year); $4,081 in four-year public institutions (up 9.6 percent from the previous year); and $1,735 for two-year public institutions (up 7.9 percent from the previous year). With tuitions rising faster than inflation, students are borrowing more money than in the past to attend college. Between 1990 and 1999, the median cumulative student federal loan amount borrowed for college nearly tripled, rising from $4,000 to $11,199. Students are increasingly turning to nonfederal sources of loans, including credit cards, to pay college expenses. These trends are occurring even though funding for Pell Grants, Supplemental Educational Opportunity Grants, and other campus-based aid programs continues to grow.

In response to the concerns about the price of college, the Department is continuing to examine the factors that contribute to the rising costs of postsecondary education. The Department is seeking ideas and suggestions for achieving cost efficiencies and cost reductions among postsecondary education institutions. The Department is also considering effective funding strategies for nontraditional and part-time students, including those participating in distance learning via technology. The Department will then disseminate its findings. In addition, the Department is continuing to work toward a more efficient federal student aid process for the benefit of all parties participating in these programs.

Strategies and Action Steps for Objective 5.3

Strategy A: Improve the efficiency of the federal student aid process

a. Continue to work with Congress to make improvements to the HEA Title IV aid process, including increasing access to postsecondary education through Pell Grants and other student aid, through the HEA reauthorization process.

b. Consult with higher education community on ways to improve the efficiency of the HEA Title IV aid process in preparation for the Department's Higher Education Act reauthorization proposal.

Strategy B: Improve postsecondary education funding strategies

a. Propose and implement policies for achieving cost efficiencies and cost reductions at postsecondary education institutions.

b. Continue to encourage Student Support Services grantees to use the maximum of federal grant funds (up to 20 percent) for grant aid by providing examples of how they might reallocate funds.

c. Publish and widely disseminate to postsecondary education institutions, states, and others a study group's recommendations for achieving cost efficiencies and cost reductions at postsecondary institutions.

Performance Measures for Objective 5.3

Objective 5.3: Establish Effective Funding Mechanisms for Postsecondary Education							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
College Tuition	Average national increase in college tuition in percentage, adjusted for inflation.	5.4	4.5	3.1*	6.4	3.0	2.9
Unmet Need	Unmet need as a percentage of the cost of attendance for low-income dependent students.	NA	43.1*	NA	NA	41	40
	Unmet need as a percentage of the cost of attendance for low-income independent students with children.	NA	60.6*	NA	NA	58	57
	Unmet need as a percentage of the cost of attendance for low-income independent students without children.	NA	46.2*	NA	NA	44	43
Indebtedness	Borrower indebtedness (expressed as average borrower payments) for federal student loans as a percentage of borrower income.	6.5	6.4	NA	P	Less than 10% in first year of repay-ment	Less than 10% in first year of repay-ment

* Baseline NA = Not available P = Pending

Notes:

For FY 2004, one measure has been revised and some targets have been changed. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

COLLEGE TUITION

Sources: College Board (for October data)

Department of Education, National Center for Education Statistics, Integrated Postsecondary Data System (IPEDS) (for December data).

UNMET NEED

Source: Department of Education, National Center for Education Statistics, National Postsecondary Student Aid Survey (NPSAS).

Additional Information: NPSAS is collected only every four years, so estimates will have to be made for intervening period.

INDEBTEDNESS

Sources: Department of Education, Federal loan records from the National Student Loan Data System (NSLDS).
Internal Revenue Service, Income data.

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Objective 5.4 Strengthen Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities

An important strategy in closing the gap between low-income and minority students and their high-income, non-minority peers is to strengthen the quality of educational opportunities in institutions dedicated to serving low-income and minority students. Through various programs and initiatives, the Department promotes the quality of institutions serving these students. The Department can and should do more, however, such as offering access to information, training, and technical assistance opportunities that contribute to the fiscal soundness of these institutions.

Strategies and Action Steps for Objective 5.4

Strategy A: Offer technical assistance for planning, implementation, and evaluation

a. Develop guidance for establishing accountability standards against which the performance of institutions serving special populations is measured.

b. Encourage states to include HBCUs, Hispanic-Serving Institutions (HSIs), and Tribal Colleges and Universities (TCUs) in their ESEA Title II activities to improve teacher preparation and professional development.

c. Incorporate planning, implementation, and evaluation components into the Institutional Development and Undergraduate Education Programs (IDUES) project directors' meetings, including expert speakers from the field and experienced project directors as appropriate.

d. Provide technical assistance and outreach to the faculty of HBCUs in order to increase their capacity and knowledge of discretionary grant programs offered throughout the Department and other federal agencies so that they may become more competitive.

Strategy B: Assist in promoting the technology infrastructure of institutions serving low-income and minority students

a. Incorporate technology components into IDUES project directors' meeting, including expert speakers from the field and experienced project directors as appropriate.

Performance Measures for Objective 5.4

Objective 5.4: Strengthen Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Fiscal Balance	The percentage of HBCUs, HSIs, and TCUs with a positive fiscal balance.	NA	67	71	P	79	84
Technological Capacity	The percentage of HBCUs, HSIs, and TCUs with evidence of increased technological capacity (such as wireless systems, high speed Internet connections, distance learning programs, or other evidence of technological innovation).	NA	NA	NA	P*	Baseline (2002) + 10 PP	Baseline + 20 PP

* Baseline
NA = Not available
HBCUs = Historically Black Colleges and Universities
HSIs = Hispanic-Serving Institutions
TCUs = Tribal Colleges and Universities
PP = Percentage points
P = Pending

Notes:

FISCAL BALANCE

Source: Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS).

Additional Information: Data are self-reported from institutions and estimate the total universe in this indicator. Nearly all HBCUs, HSIs, and TCUs participate in the IPEDS Financial Report and are, therefore, represented by the data. An institution's status as an HSI is determined by Hispanic and low-income student enrollment, which can fluctuate from year to year and cannot be exactly determined from IPEDS enrollment data. However, a reasonable approximation can be based on the IPEDS enrollment data.

TECHNOLOGICAL CAPACITY

Source: Department of Education, HEA Title III and Title V Annual Reports.

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Objective 5.5 Enhance the literacy and employment skills of American adults

The National Assessment of Literacy Skills (1992) indicates that between 70 and 90 million adults in the United States have limited literacy skills, including English language proficiency, which inhibit their ability to support their families and exercise other important social responsibilities. Shockingly, this number includes an estimated 10 million high school graduates and 1.5 million college graduates. Current classroom-based services reach about only 3 million individuals with adult basic education and English literacy services. Combined with education services delivered through other social services for adults, only a fraction of the need for enhanced literacy is being addressed. Working with state and local partners, we are developing new models of flexible, high-quality basic education and English literacy services to help a larger percentage of America's adult population, including individuals with disabilities, to acquire the literacy skills they need for the workplace, for postsecondary learning, and for lifelong personal and career growth. We are also working with state vocational rehabilitation programs, other federal agencies, and private organizations to improve employment outcomes for adults with disabilities.

Strategies and Action Steps for Objective 5.5

Strategy A: Implement performance standards

a. Make state vocational rehabilitation agency performance data available to the public on the Department of Education's Web site.

b. Identify state vocational rehabilitation agencies that are at risk of not meeting the established performance levels for Standard I (employment outcomes) and provide targeted technical assistance.

Strategy B: Invest in research on adult literacy and English language acquisition

a. Provide support to the National Institute of Child Health and Human Development (NICHD) for developing a new strand of research on effective practices in adult education and family literacy programs; and create a What Works in Adult Literacy publication.

b. Maintain collaboration with NICHD on biliteracy research program to improve the research base in this area and compete funding of the initial round of grants.

c. Initiate random assignment evaluation of federally funded Adult English as a Second Language programs.

d. Enhance the productivity of the Small Business Innovation Research (SBIR) program by implementing a technical assistance center.

e. Prepare synthesis of existing research by program area and propose a research agenda for new research that will meet the "what works" criteria.

Strategy C: Fund demonstration projects and disseminate research best practices

a. Oversee and coordinate with the Interagency Committee on Disability Research the development of a Web site that consumers can use to identify research questions that they need answered.

b. In order to ensure the dissemination of best practices, develop methods to assess the usefulness of research, training, and technical assistance and services to consumers and other stakeholders.

c. Support and evaluate demonstration projects designed to enhance literacy levels, earnings, and other employment outcomes of individuals with disabilities.

d. Establish a series of projects to demonstrate effective models of mentoring youth with disabilities as they make the transition from school to work or postsecondary programs.

e. Develop partnerships, where possible, that involve faith-based and community organizations in providing adult literacy programs.

f. Comprehensively review English language acquisition, work-based programs, and skills training through the Postsecondary Education Futures project to identify best practices.

Strategy D: Develop technology-based solutions

a. Develop online curriculum resources to support the use of technology-based instruction in adult education, English as a second language, and literacy development.

b. Collaborate with the National Technology Laboratory for the Improvement of Adult Education to document best practices in technology-based instruction, create professional development in the use of technology, and sponsor hands-on demonstration sites.

c. Facilitate interagency coordination in developing improved technology transfer so that the results of federally funded research have a higher probability of becoming solutions for improving employment and independent-living skills of people with disabilities.

Performance Measure for Objective 5.5

Objective 5.5: Enhance the Literacy and Employment Skills of American Adults								
Measures		Performance Data					Targets	
		1992	1999	2000	2001	2002	2003	2004
Adult Literacy	The percentage of adults reading at the lowest level of literacy in national adult literacy assessments.	21*	NA	NA	NA	NA	X	17.0
Employment of Individuals with Disabilities	The percentage of all persons served by state VR agencies who obtain employment.		NA	62.5*	62.5	P	63.5	64.0

* Baseline
NA = Not available
X = A target is not set because data will not be available for that year.
P = Pending
VR = Vocational rehabilitation

Notes:

Adult Literacy
Source: Department of Education, National Center for Education Statistics, National Assessments of Adult Literacy (NAAL).
Additional Information: For this indicator, we are measuring prose literacy.

Employment of Individuals with Disabilities
Source: Department of Education, Rehabilitation Services Administration (RSA), 113 Quarterly Cumulative Caseload Report.

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Objective 5.6

Increase the capacity of U.S. postsecondary education institutions to teach world languages, area studies, and international issues

Department programs continue to be instrumental in meeting the national need for U.S. experts in foreign languages, world regions, and international issues, particularly in the less commonly taught languages and regions of the world. We have added this new objective to highlight our work in this area. We are helping postsecondary education institutions to strengthen and expand student participation in these programs. We are also supporting the development of partnerships between U.S. and appropriate foreign postsecondary education institutions to promote opportunities for students and faculty who can benefit from international experiences that enhance their knowledge and skills.

Strategies and Action Steps for Objective 5.6

Strategy A: Strengthen foreign language and area studies programs

a. Assist institutions of higher education to expand student participation in, and improve the quality of, foreign language study, as well as area and international studies, through HEA Title VI programs.

b. Assist institutions of higher education to expand student participation in, and improve the quality of, study and research opportunities abroad.

Strategy B: Strengthen international linkages among postsecondary education institutions

a. Support the development of international higher-education consortia through the Fund for the Improvement of Postsecondary Education's mobility in higher education programs.

> *All future measures of a rigorous education must include a solid grounding in other cultures, other languages, and other histories. In other words, we need to put the word "world" back in "world-class education."*
>
> —Secretary Rod Paige

Performance Measures for Objective 5.6

Objective 5.6: Increase the Capacity of U.S. Postsecondary Education Institutions to Teach World Languages, Area Studies, and International Issues							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Foreign Language and International Studies	Number of students graduating from National Resource Center-funded programs.	NA	NA	NA	NA	46,000	47,000
International Postsecondary Consortia	Percentage of international postsecondary consortia projects that are institutionalized after the conclusion of the grant period.	NA	NA	NA	NA	42	44

NA = Not available

Note:

For FY 2004, new measures have been added for this new objective. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

FOREIGN LANGUAGE AND INTERNATIONAL STUDIES
Source: Institute of International Education, Open Doors Survey.

INTERNATIONAL POSTSECONDARY CONSORTIA
Source: Department of Education, Fund for the Improvement of Postsecondary Education.

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Goal 6

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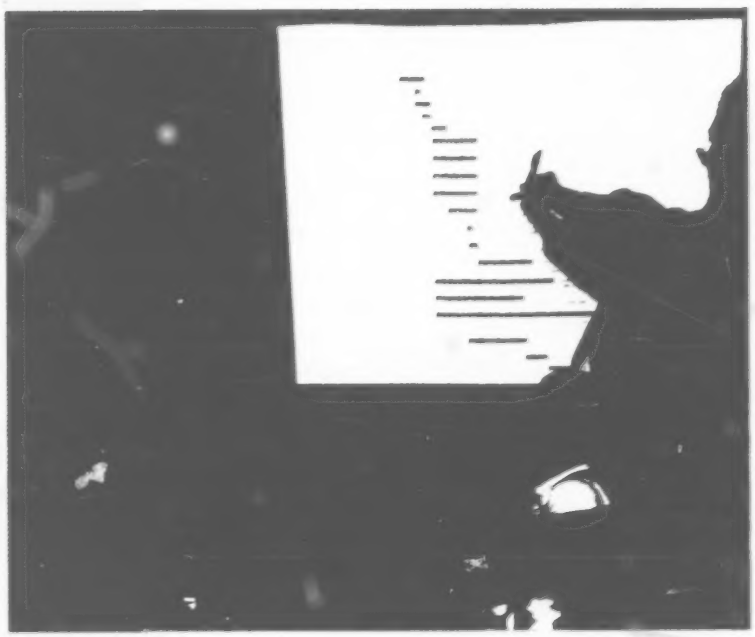
6 Strategic Goal Six:

Establish Management Excellence throughout the Department of Education



There is an understandable temptation to ignore management reforms in favor of new policies and programs. However, what matters most is performance.

—President George W. Bush

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To create a culture of achievement throughout the nation's schools, we are continuing our efforts to create a culture of accountability within the Department by aggressively implementing the *President's Management Agenda*. We are leveraging the contributions of faith-based and community organizations so that students can benefit from additional local support. Through our work to create a culture of accountability and establish management excellence, we will earn the President's Quality Award.

Approximately 2 percent of the Department's FY 2004 budget request will support Goal 6.

Objective 6.1

Develop and maintain financial integrity and management and internal controls.

Objective 6.2

Improve the strategic management of the Department's human capital.

Objective 6.3

Manage information technology resources, using electronic government (e-gov), to improve services for our customers and partners.

Objective 6.4

Modernize the Student Financial Assistance programs and reduce their high-risk status.

Objective 6.5

Achieve budget and performance integration to link funding decisions to results.

Objective 6.6

Leverage the contributions of faith-based and community organizations to increase the effectiveness of Department programs.

Objective 6.7

By becoming a high-performance, customer-focused organization, earn the President's Quality Award.

Objective 6.1 Develop and maintain financial integrity and management and internal controls

The first step toward management excellence is to provide managers and external stakeholders with timely financial information to help them in making programmatic and asset-related decisions. Financial integrity also means that we maintain effective internal controls to reduce the risk of errors and permit effective monitoring of programs and processes and that employees assume responsibility for identifying and addressing problems.

Strategies and Action Steps for Objective 6.1

Strategy A: Update and integrate financial systems

a. Upgrade Oracle Federal Financials to version 11*i*.

b. Ensure that data from the new Federal Student Aid (FSA) financial management system is adequately integrated with the Department's system.

c. Perform feeder systems reconciliations to the general ledger within 45 days of the end of each calendar month.

d. Prepare quarterly financial statements with analysis and make accounting adjustments as necessary within 60 days.

Strategy B: Prepare financial statements to provide leading data on Department performance

a. Reduce the number of material weaknesses and reportable conditions in the annual financial statement audit report.

b. Reduce the number of material weaknesses and nonconformances reported in the Federal Managers' Financial Integrity Act (FMFIA).

c. Submit the Department's audited fiscal year 2003 financial statements to the Office of Management and Budget (OMB) by November 15, 2003.

Strategy C: Analyze data to reduce fraud

a. Conduct data mining (an analysis of existing data to identify patterns) to detect possible fraud and abuse that is internal as well as external to the Department. Suspected fraud or abuse will be referred to the Office of Inspector General (OIG).

Strategy D: Review existing internal controls and implement changes where necessary

a. Prepare the updates on monitoring methods and activities (if necessary) in the annual strategic plan that each principal office sends to the Secretary.

b. Complete regular reviews of internal controls that support the Department's primary activities.

c. Ensure timely award of new grants.

d. Ensure that action plans are developed within 60 days after the Office of the Inspector General (OIG) issues final reports and that recommendations are implemented within the established time frames.

e. Continue to support legislation for improved information sharing between the Treasury Department, the Internal Revenue Service, and the Department.

f. Continue to improve and evaluate the Department's Continuity of Operations Plan (COOP).

Strategy E: Increase the use of performance-based grants and contracts

a. Redesign the competitive and grant application and review process.

b. Increase the use and effectiveness of performance-based contracting.

The Department of Education has received the first clean audit in many years and only the second one in the history of the Department. And this is not going to be an aberration; this is going to be a standard way of operating.

—Secretary Rod Paige

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Performance Measures for Objective 6.1

Objective 6.1: Develop and Maintain Financial Integrity and Management and Internal Controls							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Audit Opinion	The achievement of an unqualified audit opinion.	Qualified	Qualified	Qualified	Un-qualified	Un-qualified	Un-qualified
Financial Management Report Card	The financial management grade received on report card by the Subcommittee on Government Efficiency, Financial Management and Intergovernmental Relations.	D-	D-	D-	Pending	B	A
Open Audit Recommendations	The number of audit recommendations from prior-year financial statement audits remaining open.	48	18	19	8	7	6
Performance-Based Contracts	The percentage of performance-based contract actions.	NA	NA	NA	44	45	45
	The percentage of eligible dollars in performance-based contract actions.	20	43	52	59	50	50
Erroneous Payments	The percentage of erroneous payments.	NA	NA	NA	NA	Set baseline	Baseline - 5 %
Cost Per Transaction	The federal administrative cost per grant transaction.	NA	NA	NA	NA	Set baseline	TBD

NA = Not available
TBD = To be determined

Notes:

For FY 2004, two measures for this objective have been combined into one and the target changed. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

AUDIT OPINION
Source: Independent Auditors' Financial Statement and Audit Report.

OPEN AUDIT RECOMMENDATIONS
Sources: Department of Education, Office of the Chief Financial Officer (OCFO), Internal Audit Electronic Corrective Action Plan System.

PERFORMANCE-BASED CONTRACTS
Source: Department of Education, Office of the Chief Financial Officer (OCFO), Central Automated Processing System (EDCAPS) and Federal Procurement Data Source (FPDS).

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Objective 6.2

Improve the strategic management of the Department's human capital

A key element of creating a Department-wide culture of performance excellence and accountability is the strategic investment of human capital. The Department is developing and carrying out a plan for human capital management that supports the Department's mission by ensuring that skilled, high-performing employees are available and deployed appropriately. This plan is supported by a competitive sourcing plan that ensures that services are provided at a maximum level of cost effectiveness. We will continue to de-layer the organization and to ensure that our work is citizen centered.

Strategies and Action Steps for Objective 6.2

Strategy A: Develop a five-year human capital plan

a. Develop a recruitment plan.

b. Use existing human capital flexibilities strategically.

c. Develop training programs that focus on required competencies associated with specific career fields.

d. Implement training programs (learning tracks) that focus on the Department's needed competencies.

e. Develop metrics for critical human capital activities.

Strategy B: Identify and obtain needed skills

a. Implement individualized development plans.

b. Implement the Homeland Security Act flexibilities appropriately.

Strategy C: Improve employee performance and accountability

a. Evaluate EDPAS.

b. Realign the mentoring program.

Strategy D: Improve core processes related to human capital management

a. Continue to implement One-ED, the Department's human capital, competitive sourcing, and restructuring plan.

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b. Review Department reorganizations that do not occur as a part of the Department's One-ED initiative to ensure that the reorganization is delayered and citizen-centered.

c. Plan for human capital needs that could result from competitive sourcing activities.

Strategy E: Improve the use of competitive sourcing

a. Make competitive sourcing decisions (whether and what to compete) on activities that are examined under the One-ED initiative.

b. Obtain OMB concurrence with competitive sourcing source selection strategy.

c. Identify interagency support service agreements and develop a competition plan.

d. Announce and issue solicitations for activities to be competitively sourced.

e. Make source selection decision on competitively sourced activities that are examined under the One-ED initiative.

f. Determine activities to be examined under the next phases of the One-ED initiative.

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Performance Measures for Objective 6.2

Objective 6.2: Improve the Strategic Management of the Department's Human Capital							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Skill Gap Reduction	Percentage of principal offices that have identified recruitment needs in their principal office recruitment plan and that are taking actions to fill critical positions with needed skills.	NA	NA	NA	NA	50	60
Alignment between high performance and awards	Percentage of performance, cash, and time-off awards that are given to employees with ratings in the top three rating levels in the EDPAS system.	NA	NA	NA	NA	100	100
Addressing poor performers	Percentage of personnel in the lowest two EDPAS rating levels who have performance improvement activities under way.	NA	NA	NA	NA	70	80
Managers' use of EDPAS	Percentage of EDPAS employees who have documented ratings of record.	NA	NA	NA	NA	80	90
Competitive Sourcing	Number of positions for which solicitations are issued under the revised A-76 guidelines.	NA	NA	NA	0	15% of the 2000 Fair Act Inventory	50% of the 2000 Fair Act Inventory

NA = Not applicable EDPAS = Education Department Performance Appraisal System

Notes:

For FY 2004, some measures have been dropped from this objective, others have been added, and some targets have been changed. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

SKILL GAP REDUCTION

Source: Department of Education, Office of Management (OM), Recruitment Plan.

ALIGNMENT

Source: Department of Education, Office of Management (OM), Federal Personnel Payroll System (FPPS).

POOR PERFORMERS

Source: Department of Education, Office of Management (OM), FPPS and Employee Relations Team.

MANAGERS' USE OF THE EDUCATION DEPARTMENT PERFORMANCE APPRAISAL SYSTEM (EDPAS)

Source: Department of Education, Office of Management (OM), FPPS.

COMPETITIVE SOURCING

Source: Department of Education, Office of Management (OM), Contracts and Purchasing Operations.

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Objective 6.3

Manage information technology resources, using e-gov, to improve services for our customers and partners

The Department must leverage information technology (IT) to improve the efficiency of its business functions so that we can better serve our internal and external customers. To achieve the increases in efficiency, we will first improve and simplify ineffective business processes and, only then, apply IT to support the new processes. These new processes will, among other things, ensure that all our external customers, including individuals with disabilities, can exchange data with the Department effectively and without undue burden. The Department will maintain the confidentiality, privacy, and integrity of these data. In addition, accountability will be assigned to IT investments, ensuring that they are managed to performance objectives. Finally, we will further strengthen accountability by improving the management of data and applying technology more effectively to customer-service efforts.

Strategies and Action Steps for Objective 6.3

Strategy A: Complete enterprise architecture

a. Complete the implementation plan for the Department's enterprise architecture, an enterprise-wide framework that integrates business architecture (strategy, governance, organization, process), data/information architecture, application (systems) architecture, and technology (IT) architecture.

b. Complete the enterprise architecture target architectures.

c. Continue using enterprise architecture to guide IT capital decisions through the Capital Planning and Investment Control (CPIC) and Investment Review Board (IRB) processes.

d. Identify cost and schedule change for IT projects.

Strategy B: Ensure security of the IT infrastructure

a. Complete the certification and accreditation of the Department's major systems (Tier 3 and 4 systems).

b. Complete the certification and accreditation of the Department's non-mission-critical systems (Tier 1 and 2 systems).

Strategy C: Reduce our partners' data-reporting burden

a. Develop and implement the Performance-Based Data Management Initiative (PBDMI) collection system.

Strategy D: Encourage customers to conduct business with the Department online

a. Release eLoans Gateway, a plainspeak Web site that educates citizens on federal loan programs with links to federal agency and private-sector resources.

b. Conduct change management activities with customers to ensure their knowledge of the e-grants initiative and the role the Department plays.

c. Participate in the government-wide e-grants initiative.

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Performance Measures for Objective 6.3

Objective 6.3: Manage Information Technology Resources, Using E-gov, to Improve Services for Our Customers and Partners

Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Online Capability	Percentage of loan programs providing online application capability.	NA	NA	NA	NA	95	100
	Percentage of grant programs providing online application capability.	NA	NA	NA	NA	15	50
System Certification	Percentage of currently identified Tier 3 and 4 systems that complete Certification and Accreditation.	NA	NA	NA	NA	NM	100
	Percentage of currently identified Tier 1 and 2 systems that complete Certification and Accreditation.	NA	NA	NA	NA	10	50
Burden Hours of Collections	The OMB burden-hour estimates of Department program data collections per year.	42.07M	40.93M	40.65M*	38.40M	38M	36M
Cost and Schedule of IT Investments	The percentage of major IT investments that achieve less than a 10% variance of cost and schedule goals.	NA	NA	NA	P	90	91

* Baseline M = Million
NA = Not applicable P = Pending
NM = New measure for FY 2004; not a measure for FY 2003

Notes:

For FY 2004, one measure has been dropped from this objective, others have been added, and one target has been changed. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

BURDEN HOURS OF COLLECTIONS

Sources: Department of Education, Office of the Chief Information Officer, Program files.
Office of Management and Budget, Burden calculations.

Additional Information: Data are validated by internal review procedures of the Regulatory Information Management Group (RIMG) of the Office of the Chief Information Officer (OCIO). Data are estimated for all of the Department's data collections from the public. The Department makes initial estimates and OMB later provides revised estimates.

COST AND SCHEDULE OF IT INVESTMENTS

Source: Department of Education, Office of the Chief Information Officer (OCIO), Program files.

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Objective 6.4 Modernize the Student Financial Assistance programs and reduce their high-risk status

The Department's Office of Federal Student Aid (FSA), is continuing to improve and integrate its financial and management information systems to manage the student aid programs effectively. We are reducing the programs' vulnerability to fraud, waste, error, and mismanagement, so as to permanently leave the General Accounting Office's (GAO) high-risk program list.

Strategies and Action Steps for Objective 6.4

Strategy A: Create an efficient and integrated delivery system

a. Define an enterprise-wide data strategy that addresses the business flow of data across the enterprise architecture, primary ownership, standards, management, access methods, and quality.

b. Implement electronic audits and financial statements.

c. Enhance the use of available financial partner data by implementing Phase III of the Financial Partners Data Mart.

d. Retire the Pell Grant's Recipient Financial Management System (RFMS) and the Direct Loan Origination System (DLOS).

Strategy B: Improve program monitoring

a. Create an infrastructure that provides organizational focus to address risk issues.

b. Complete action items to address material weaknesses in FSA's financial statement audits in accordance with agreed-on action plans.

c. Review internal controls in the Financial Management System (FMS) to ensure that data are accurate, reliable, available, and timely, in order to maintain adequate stewardship and accountability.

d. Use measures for compliance and oversight activities to evaluate the effectiveness of case management, including technical assistance.

e. Identify school fund management, reconciliation, and closeout process improvements and fill gaps in current operational procedures related to reconciliation.

f. Demonstrate improved risk-management and default-prevention strategies.

Performance Measures for Objective 6.4

Objective 6.4: Modernize the Student Financial Assistance Programs and Reduce Their High-Risk Status							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Leave High-Risk List	By 2003, the Student Financial Assistance (SFA) programs will leave the GAO high-risk list and will not return.	NA	NA	NA	94% of Plan Accomplished	Clean opinion and leave the GAO High-Risk List through requested reconsideration of designation by GAO	i. Clean opinion ii. Address internal audit recommendations meeting the 95% standard iii. Meet program integration goals in the FY 2004 FSA Performance Plan
Recovery Rate	Default recovery rate (percentage).	8.0	7.5	7.8*	7.6	7.6	8.0
Pell Grant Erroneous Payments	The percentage of Pell grant overpayments.	NA	NA	3.4 ($272M)	3.3 ($330M)	3.1	3.1
	The percentage of Pell grant erroneous payments.	NA	NA	NA	NA	3.6	3.6
System Reconciliations	Timeliness of FSA major system reconciliations to the general ledger, expressed as the number of days after month-end close.	NA	NA	NA	45	Oct.–Mar.: 40 days Apr.–Sept.: 30 days	30 days
Customer Service	Customer service (measures of service levels of targeted FSA transactions with public).	NA	NA	NA	NA	Set baseline	Maintain or improve
Integration of Systems	Integration of FSA processes and systems that work together to support FSA program delivery functions.	NA	NA	NA	100% of FY 2002 targets	100% of 2003 targets in FSA's sequencing plan and re-evaluate goals for 2004–2007	100% of 2004 targets in FSA's sequencing plan

* Baseline
NA = Not available
M = Million
FSA = Office of Federal Student Aid
SFA = Student Financial Assistance (programs)

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Notes:

For FY 2004, some measures for this objective have been revised, others have been added, and some targets have been changed. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

LEAVE HIGH RISK LIST

Sources: Department of Education, Office of Federal Student Aid (FSA), FSA High Risk Plan.
Department of Education, Office of Federal Student Aid (FSA), FSA Progress Reports.
Government Accounting Office (GAO), High Risk List.

RECOVERY RATE

Source: Department of Education, Office of Federal Student Aid (FSA), Debt Collection Management Systems (DCMS) MIS reports.

Additional Information: Defined as the sum of FSA's collections on defaulted loans–less consolidation–divided by the outstanding default portfolio at the end of the previous year, expressed as a percentage.

PELL GRANT ERRONEOUS PAYMENTS

Source: Department of Education, Office of Federal Student Aid (FSA), Analysis of sampled IRS income data to data reported on the Free Application for Federal Student Aid reported by FSA and Recipient Financial Management System.

Additional Information: These targets have been modified from dollar amounts, as they appeared in the Strategic Plan, to percents.

SYSTEM RECONCILIATIONS

Source: Department of Education, Office of Federal Student Aid (FSA), Internal System Reports.

CUSTOMER SERVICE

Source: Department of Education, Office of Federal Student Aid (FSA), Internal FSA Progress Reports.

Objective 6.5 Achieve budget and performance integration to link funding decisions to results

The Department is seeking funding for programs that work and is seeking to reform or eliminate programs that do not. To ensure that high-priority activities are funded, the budget execution process is being linked to the Department's *Strategic Plan*. To provide timely feedback for management at the agency and government levels, the Department is developing integrated budgeting, performance, and accounting information systems at the program level.

Strategies and Action Steps for Objective 6.5

Strategy A: Align budget and planning processes

a. Integrate budget, financial, and performance data in planning and performance documents.

b. Prepare outcome-based performance measures for programs that now lack them, for use in budget and PART reviews.

c. Conduct workshops to help prepare programs for PART reviews.

Strategy B: Document program effectiveness

a. Establish performance measures for grant administration.

b. Review program performance measures to ensure that they are consistent with program goals and are outcome oriented.

c. Implement competitive priority for grant programs that provides incentive for applicants to propose rigorous, scientific evaluations, complete with experimental designs.

The action steps under Objective 1.1 also further the objective of budget and performance integration.

Performance Measures for Objective 6.5

Objective 6.5: Achieve Budget and Performance Integration to Link Funding Decisions to Results							
Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
Program Effectiveness	The percentage of Department programs reviewed under the PART process that demonstrate effectiveness.	NA	NA	NA	29	40	50
	The percentage of Department program dollars associated with programs reviewed under the PART process that demonstrate effectiveness.	NA	NA	NA	55	60	65

NA = Not available

Notes:

For FY 2004, these measures have been revised and the targets have been changed. Please see "Interim Adjustments to the *2002-2007 Strategic Plan*," beginning on page 107.

Federal Program Accountability

Source: Department of Education, Office of the Deputy Secretary (ODS), Strategic Accountability Service (SAS), Analysis of the Program Assessment Rating Tool (PART) scores.

Additional Information: The Department bases these measures on programs that are reviewed by OMB under the PART. We define effective programs as those with scores of at least 50 percent on Section IV of the PART and compare the number of effective programs with the number of programs that are reviewed under the PART. At this point only a relatively small number of programs are reviewed under the PART process. However, over time, we expect that a greater number of programs will be reviewed by this method.

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Objective 6.6

Leverage the contributions of faith-based and community organizations to increase the effectiveness of Department programs

America is richly blessed by the diversity and vigor of its neighborhood heroes—civic, social, charitable, and religious groups. These quiet champions lift people's lives, usually on very small budgets. They heal our nation's ills, one heart and one act of kindness at a time. The indispensable and transforming work of charitable service groups—including faith-based and community organizations—must be encouraged. These organizations bring to their work the spirit of compassion, volunteerism, and close connections to communities. The Department encourages their active participation in its programs.

Strategies and Action Steps for Objective 6.6

Strategy A: Provide technical assistance and outreach and implement novice applicant procedures

a. Implement a plan for improved communications with, and outreach to, faith-based and community organization.

b. Implement technical assistance plan and novice applicant reform.

Strategy B: Remove barriers to the full participation of faith-based and community organizations

a. Promulgate policy and regulations removing barriers to full participation of faith-based and community organizations in Department programs.

b. Improve understanding of legal issues regarding ground rules for participation of faith-based and community organizations in Department programs.

c. Establish a pilot project targeting faith-based and community organizations to be providers of supplemental services in Department programs.

d. Collect and analyze information on the level of faith-based and community organizations' participation in selected Department programs.

e. Ensure that grant announcements in the *Federal Register* clarify that faith-based and community organizations are eligible to apply provided that they meet all statutory and regulatory requirements.

f. Recruit highly qualified peer reviewers for amenable programs from faith-based and community organizations and provide appropriate training.

Performance Measures for Objective 6.6

Objective 6.6: Leverage the Contributions of Faith-Based and Community Organizations to Increase the Effectiveness of Department Programs

Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
	Number of FBCOs who receive technical assistance concerning programs amenable to their participation through the Web site, attendance at a workshop, telephonic consultation, direct meeting, or receipt of materials.	NA	NA	NA	NA	NM	10,000
Technical Assistance	Issuance of clear guidance that explains the ground rules for participation of faith-based groups in Department grant programs in accordance with applicable constitutional standards.	NA	NA	NA	NA	NM	Department issues clear guidance
	Percentage of programs amenable to participation by FBCOs in which novice applicant reform is implemented.	NA	NA	NA	62	50	100
Grant Applications	Number of grant applications from FBCOs in discretionary grant programs.	NA	NA	NA	NA	Set baseline	Baseline + 10%
Department Staff Training	Percentage of program staff who work on programs open by statute to FBCOs and attorneys in the Office of General Counsel (OGC) that receive training on the ground rules for the participation of FBCOs in the Department's grant programs.	NA	NA	NA	NA	NM	100

NA = Not applicable
NM = New measure for FY 2004; not a measure for FY 2003
FBCOs = Faith-Based and Community Organizations

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Note:

For FY 2004, one measure has been dropped from this objective, one has been revised, and others have been added. Please see "Interim Adjustments to the *2002–2007 Strategic Plan*," beginning on page 107.

Novice Applicant Procedures

Source: Department of Education, Center for Faith-Based and Community Initiatives, Report on Findings, 2001: Annual Report to the White House Office of Faith-Based and Community Initiatives, 2002.

The president has made it his mission to level the playing field so good people who were left out of the process can now act on their spiritual imperatives and help others make a difference and be partners with the federal government.

—Secretary Rod Paige

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Objective 6.7

By becoming a high-performance, customer-focused organization, earn the President's Quality Award

As a result of implementing the *President's Management Agenda*, our Strategic Plan, the recommendations of the Culture of Accountability team, and One-ED (our human capital, restructuring, and competitive sourcing plan), the Department will be in a position to compete for and win the President's Quality Award by FY 2004.

Strategies and Action Steps for Objective 6.7

Strategy A: Apply for the President's Quality Award

a. Seek and earn the President's Quality Award.

Performance Measure for Objective 6.7

Objective 6.7: By Becoming a High-Performance, Customer-Focused Organization, Earn the President's Quality Award

Measures		Performance Data				Targets	
		1999	2000	2001	2002	2003	2004
President's Quality Award	Earn the President's Quality Award.	NA	NA	NA	Department applied for the award and gained insight.	Apply for the award and gain insight.	Apply for and win the award.

NA = Not applicable

Note:

Source: Office of Personnel Management (OPM), Application materials.

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Adjustments to the Strategic Plan

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Interim Adjustments to the *2002–2007 Strategic Plan*

The Department published our *Strategic Plan* in March 2002. This plan set six ambitious goals with 24 objectives. Measures focus almost exclusively on outcomes. Now that we are into the second year of our *Strategic Plan*, we find that minor adjustments are appropriate.

We are making no changes to our six goals, and we are as committed to them now as we were when they were published.

We are adding two objectives to reflect our commitment to international education:

> Objective 2.5: Improve U.S. students' knowledge of world languages, regions, and international issues and build international ties in the field of education.
>
> Objective 5.6: Increase the capacity of U.S. postsecondary education institutions to teach world languages, area studies, and international issues.

We are also modifying some of our measures. These modifications include deleting measures for which we are unable to obtain data or have determined that alignment is not optimal, revising some measure statements to more accurately reflect the data we collect or to choose more appropriate measures (such as rates rather than counts), and adding new measures that better align with our objectives. We have also modified some targets to take into account our recent performance, to correct prior data, or to replace "TBD" with numerical targets.

The tables on the following pages identify the adjustments.

Key to Tables on Pages 109–118

M	=	Million
NM	=	New measure for FY 2004. Not in effect for FY 2003.
X	=	Data are not expected to be collected in that year, so the measure does not apply for that year. This is used where the measure is an ongoing indicator but collections are biennial or less frequent.

The following measures have been deleted from the Strategic Plan Effective FY 2004.	
Objective	**Measure**
1.2	The number of states approved for Ed-Flex.
1.4	The percentage of Department programs that have developed and disseminated research-based "what works" guides to their grantees.
1.4	The percentage of "what works" guides that are deemed to be of high quality by an independent review panel of qualified scientists.
3.1	Drug Use–percentage of youth ages 12–17 who reported using cocaine in the past 30 days.
3.1	Drug Use–percentage of youth ages 12–17 who reported using heroin in the past 30 days.
4.2	The percentage of policymakers and school administrators who report that they use research products of the Department in policymaking decisions.
5.1	Awareness of financial aid for all students and for disaggregated groups.
5.1	Awareness of academic requirements for all students and for disaggregated groups.
5.2	The percentage of states with comprehensive reporting systems for colleges and universities.
6.2	Percentage of ED employees who are focused on results.
6.2	Percentage of ED employees who hold their leaders in high regard.
6.2	Percentage of ED employees who believe that their organization has set high but realistic, results-oriented work expectations for them.
6.2	Percentage of ED employees who believe that their organization supports their development and expects them to improve their skills and learn new skills to do their jobs better.
6.2	Percentage of managers satisfied with services received from OM when hiring staff.
6.3	Percentage of customer ratings of ED IT services as "good" or better.
6.6	Percentage of non-statutory barriers relating to technical assistance and outreach identified in the Report on Findings that are removed.

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The following measures or targets have been revised. (Revisions are shown in italics.)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
1.1	The percentage of Department programs ***reviewed under the PART process*** that demonstrate effectiveness.	*40*	*50*			
1.1	The percentage of Department program dollars ***associated with programs reviewed under the PART process*** that demonstrate effectiveness.	*60*	*65*			
1.2	The percentage of school districts utilizing *Local-Flex*, Transferability, or Rural Flexibility.	*Set baseline*	*Baseline + 10%*	*Baseline + 20%*	*Baseline + 30%*	*Baseline + 40%*
1.2	The OMB burden-hour estimate of Department program data collections per year.	As printed in Strategic Plan	*36 M*	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
1.2	The percentage of Department grantees that express satisfaction with Department customer service.	*65*	*67*			
1.3	The percentage of parents who report having the information they need to determine the effectiveness of their child's school.	*Set baseline*	*Baseline + 5%*	*Baseline + 10%*	*Baseline + 25%*	*Baseline + 40%*
2.3	NAEP 12th-grade reading for all students, for African American students, for Hispanic students, for students with disabilities, and for limited English proficient students.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	*X*

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The following measures or targets have been revised. (Revisions are shown in italics.) (continued)						
Objective	**Measure**	**2003 Target**	**2004 Target**	**2005 Target**	**2006 Target**	**2007 Target**
2.3	NAEP 12th-grade mathematics for all students, for African American students, for Hispanic students, for students with disabilities, and for limited English proficient students.	*X*	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	*X*
2.3	The percentage of all 12th-grade students who scored 3 or higher on the AP American history exam.	*0.40*	*0.45*	*0.55*	*0.65*	*0.80*
3.1	***Rate*** of violent crimes at school (replaces number of violent crimes).	*24/1000*	*23/1000*	*22/1000*	*21/1000*	*20/1000*
3.1	***Rate*** of serious violent crimes at school (replaces number of serious violent crimes).	*4/1000*	*4/1000*	*4/1000*	*4/1000*	*4/1000*
3.1	Drug Use–percentage of youth ages 12–17 who reported using in the last 30 days–alcohol	As printed in Strategic Plan	*14*	*14*	*13*	*13*
3.1	Drug Use–tobacco	As printed in Strategic Plan	*11*	*11*	*10*	*10*
3.1	Drug Use–marijuana	*7*	*7*	*6*	*6*	*5*
3.1	Substance use at school–alcohol	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	*4*
3.1	Substance use at school–cigarettes	As printed in Strategic Plan	As printed in Strategic Plan	*7*	As printed in Strategic Plan	*5*
3.1	Substance use at school–marijuana	As printed in Strategic Plan	As printed in Strategic Plan	*3*	As printed in Strategic Plan	*3*
3.1	Substance use at school–illicit drugs	As printed in Strategic Plan	As printed in Strategic Plan	*25*	As printed in Strategic Plan	*23*

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The following measures or targets have been revised. (Revisions are shown in italics.) (continued)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
3.2	The percentage of students in grade 12 who participated in community service or volunteer work (replaces similar measure for students in grades 6–12).	*81*	*83*			
4.1	The percentage of new *IES and OSEP* research and evaluation projects funded by the Department that are deemed to be of high-quality by an independent review panel of qualified scientists.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
4.1	The percentage of new *IES and OSEP* research and evaluation publications that are deemed to be of high quality by an independent review panel of qualified scientists.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
4.1	Of new *IES and OSEP* research and evaluation projects that address causal questions, the percentage that employ randomized experimental designs.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
4.1	Of new *IES and OSEP* research and evaluation publications that address causal questions, the percentage that describe studies tha employ randomized experimental designs.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan

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The following measures or targets have been revised. (Revisions are shown in italics.) (continued)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
4.2 → 1.4	The number of hits on the What Works Clearinghouse. *This measure has been moved from Objective 4.2 to Objective 1.4.*	*1,000,000*	*4,000,000*			
4.2	The percentage of K–16 policymakers and administrators who report routinely considering evidence of effectiveness before adopting educational products and approaches.	As printed in Strategic Plan	*X*	As printed in Strategic Plan		
5.1	Percentage of full-time, degree- or certificate-seeking students at two-year institutions who graduate, earn a certificate, or *transfer from two-year institutions* within three years, overall, and by disaggregated groups.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
5.3	Unmet need as a percentage of the cost of attendance for low-income independent students without children.	*44*	*43*	*42*	*41*	*40*
5.3	Borrower indebtedness (*expressed as* average borrower payments) for federal students loans as a percentage of borrower income.	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
6.1	The percentage of performance-based contract actions.	*45*	*45*			
6.1	*Percentage* of erroneous payments (replaces number and amount of erroneous payments).	*Set baseline*	*Baseline – 5%*			
6.1	The federal administrative cost per grant transaction.	*Set baseline*				

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The following measures or targets have been revised. (Revisions are shown in italics.) (continued)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
6.2	*Percentage of principal offices that have identified recruitment needs in their principal office recruitment plan and that are taking actions to fill critical positions with needed skills* (replaces meet skill gap reduction targets).	*50*	*60*	*70*		
6.2	*Number of positions for which solicitations are issued under the revised A-76 guidelines* (replaces positions competed under competitive sourcing).	*15% of the 2000 Fair Act Inventory*	*50% of the 2000 Fair Act Inventory*	*TBD by OMB*		
6.3	The OMB burden-hour estimates of Department program data collections per year.	As printed in Strategic Plan	*36 M*	As printed in Strategic Plan	As printed in Strategic Plan	As printed in Strategic Plan
6.3	The percentage of ***major*** IT investments that achieve less than a 10% variance of cost and schedule goals.	*90*	*91*	*92*		
6.4	***Student Financial Assistance programs*** will leave the GAO high-risk list and will not return.	*Clean opinion and* leave the GAO High-Risk List *through requested reconsideration of designation by GAO*	*i. Clean opinion, ii. Address internal audit recommendations meeting the 95% standard, iii. Meet program integration goals in the FY 2004 FSA Performance Plan*	*Not be designated a High-Risk Program in GAO's High-Risk Series Report issued January 2005*	*i. Clean opinion, ii. Address internal audit recommendations meeting the 95% standard, iii. Meet program integration goals in the FY 2006 FSA Performance Plan*	*Not be designated a High-Risk Program in GAO's High-Risk Series Report issued January 2007*

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The following measures or targets have been revised. (Revisions are shown in italics.) (continued)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
6.4	The percentage of Pell grant overpayments.	*3.1*	*3.1*	*3.1*	*3.1*	*3.1*
6.4	Timeliness of FSA major system reconciliations to the general ledger.	*Oct.–Mar.: 40 days Apr.–Sep.: 30 days*	*30 days*	*30 days*	*30 days*	*30 days*
6.4	Customer service (measures of service levels targeted by FSA transactions with public).	*Set baseline*	*Maintain or improve*	*Maintain or improve*	*Maintain or improve*	*Maintain or improve*
6.4	Integration of FSA *processes and* systems *that work together to support FSA program delivery functions.*	*Meet 100% of 2003 targets in FSA's Sequencing Plan; re-evaluate targets for 2004–2006*	*Meet 100% of 2004 targets in FSA's Sequencing Plan*	*Meet 100% of 2005 targets in FSA's Sequencing Plan*	*Meet 100% of 2006 targets in FSA's Sequencing Plan*	*NA* (Note: integration efforts will be completed by the end of FY 2006.)
6.5	The percentage of Department programs *reviewed under the PART process* that demonstrate effectiveness.	*40*	*50*			
6.5	The percentage of Department program dollars *associated with programs reviewed under the PART process* that demonstrate effectiveness.	*60*	*65*			
6.6	Percentage of programs *amenable to participation by FBCOs* in which novice applicant reform is implemented. (Replaces: percentage of appropriate programs in which the novice applicant procedures are implemented.)	As printed in Strategic Plan	*100*			

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The following measures and targets have been added, effective FY 2004.						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
1.2	The number of states receiving State-Flex authority (stautory maximum of 7).	NM	3	7	7	7
1.2	The percentage of LEAs with authority under State-Flex that make AYP.	NM	Set baseline			
2.4	Percentage of the nation's teachers of core academic subjects that are "highly qualified" as defined by NCLB.	NM	Set baseline			
2.5	The percentage of public secondary school (grades 9–12) students enrolled in foreign-language courses.	NM	43.0	44.0	45.0	
2.5	The number of U.S. postsecondary students studying abroad.	NM	164,000	175,000	187,000	
3.2	The percentage of students in grade 12 who would dislike it if a student intentionally did things to make his/her teachers angry.	34	36			
3.2	The percentage of students who think that most students in their classes who would dislike it if a student cheated on a test.	17	19			
5.1	The percentage of families who plan to help child pay for his/her education after high school.	NM	Set baseline			

The following measures and targets have been added, effective FY 2004. (continued)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
5.1	The percentage of families believing they have enough information about the amount needed for college or vocational school to start planning how to pay for child's education.	NM	Set baseline			
5.6	Number of students graduating from National Resource Center-funded programs.	46,000	47,000	48,000	49,000	50,000
5.6	Percentage of international postsecondary consortia projects that are institutionalized after the conclusion of the grant period.	42	44	46	48	50
6.2	Percentage of performance, cash, and time-off awards that are given to employees with ratings in the top three levels in the EDPAS system.	100	100	100		
6.2	Percentage of personnel in the lowest two EDPAS rating levels who have performance improvement activities under way.	70	80	90		
6.2	Percentage of EDPAS employees who have documented ratings of record.	80	90	90		
6.3	Percentage of loan programs providing online application capability.	95	100	100		
6.3	Percentage of grant programs providing online application capability.	15	50	75		

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The following measures and targets have been added, effective FY 2004. (continued)						
Objective	Measure	2003 Target	2004 Target	2005 Target	2006 Target	2007 Target
6.3	Percentage of currently identified Tier 3 and 4 systems that complete Certification and Accreditation.	NM	100	100		
6.3	Percentage of currently identified Tier 1 and 2 systems that complete Certification and Accreditation.	10	50	100		
6.4	Percentage of Pell grant erroneous payments.	3.6	3.6	3.6	3.6	3.6
6.6	Number of FBCOs who receive technical assistance concerning programs amenable to their participation through the Web site, attendance at a workshop, telephonic consultation, direct meeting, or receipt of materials.	NM	10,000	15,000	20,000	
6.6	Number of grant applications from FBCOs in discretionary grant programs.	Set baseline	Baseline + 10%	Baseline + 20%	Baseline + 25%	
6.6	Issuance of clear guidance that explains the ground rules for participation of faith-based groups in Department grant programs in accordance with applicable constitutional standards.	NM	Department issues clear guidance			
6.6	Percentage of program staff who work on programs open by statute to FBCOs and attorneys in OCG that receive training on the ground rules for the participation of FCBOs in the Department's Grant programs	NM	100			

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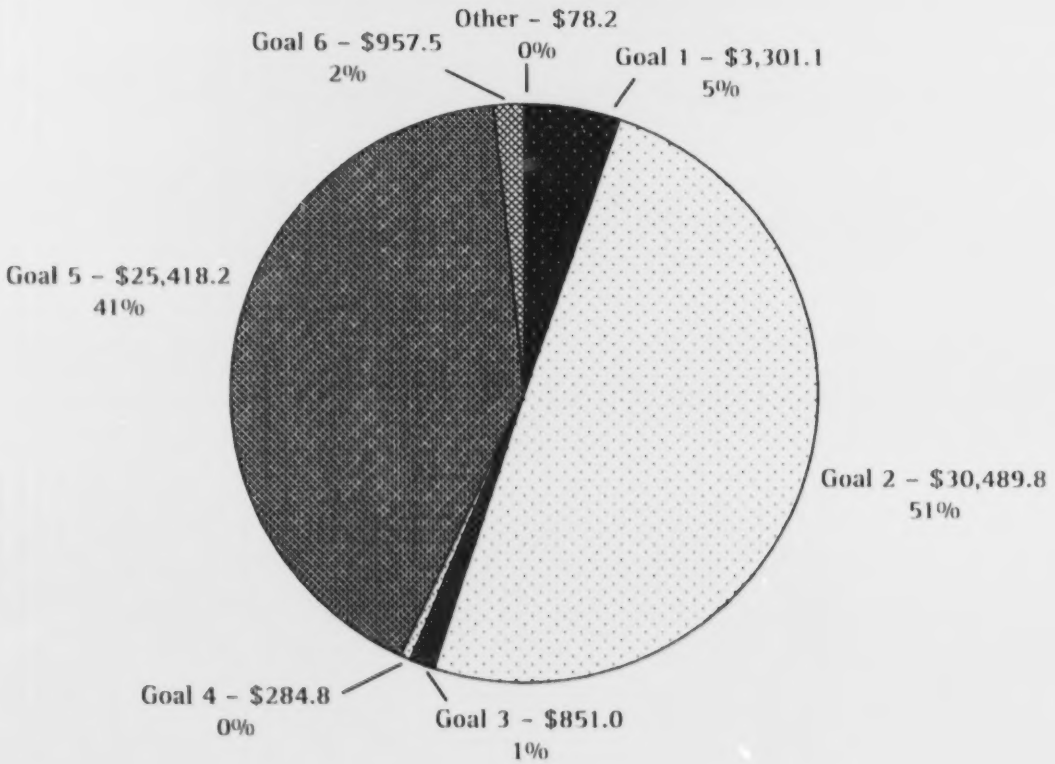
Appendixes

Appendix

A Budget-to-Objective Crosswalk

Projected Fiscal Year 2004 Percentage of Funding by Goal

(dollars in millions)



Goal 1: Create a culture of achievement

Goal 2: Improve student achievement

Goal 3: Develop safe schools and strong character

Goal 4: Transform education into an evidence-based field

Goal 5: Enhance the quality of and access to postsecondary and adult education

Goal 6: Establish management excellence

Other: Civil rights activities

Source: Internal Department of Education estimates provided by the Budget Service.

Projected Distribution of Fiscal Year 2004 Funding and Staffing by Goal and Objective				
Goals and Objectives	Total ($ in millions)	Program ($ in millions)	S&E ($ in millions)	Staffing (FTE)
	$61,382.7	$60,040.7	$1,342.1	4,625
Goal 1: Create a culture of achievement	3,303.1	3,235.2	67.9	535
Objective 1.1– Link Federal education funding to accountability for results	1,345.5	1,311.5	34.0	300
Objective 1.2– Increase flexibility and local control by the third grade	159.9	148.0	11.9	93
Objective 1.3– Increase information and options for parents	1,032.6	1,013.3	19.3	119
Objective 1.4– Encourage the use of scientifically based methods within Federal education programs	765.1	762.4	2.7	23
Goal 2: Improve student achievement	30,489.8	30,447.1	42.7	376
Improve student achievement	1,181.8	1,181.8	0.0	0
Objective 2.1– Ensure that all students read on grade level by the third grade	10,996.6	10,998.1	8.4	67
Objective 2.2– Improve mathematics and science achievement for all students	8,045.7	8,033.1	12.6	114
Objective 2.3– Improve the performance of all high school students	4,604.2	4,588.7	15.5	140
Objective 2.4– Improve teacher and principal quality	5,648.8	5,643.9	4.8	43
Objective 2.5– Improve U.S. students' knowledge of world languages, regions, and international issues and build international ties in the field of education	12.7	11.5	1.2	12
Goal 3: Develop safe schools and strong character	851.0	838.4	12.7	114
Develop safe schools and strong character	15.5	15.5	0.0	0
Objective 3.1– Ensure that our nation's schools are safe and drug free and that students are free of alcohol, tobacco and other drugs	772.5	761.3	11.3	102
Objective 3.2– Promote strong character and citizenship among our nation's youth	63.0	61.6	1.4	12
Goal 4: Transform education into an evidence-based field	284.8	236.4	48.4	392
Objective 4.1– Raise the quality of research funded or conducted by the Department	157.1	114.7	42.4	359
Objective 4.2– Increase the relevance of our research in order to meet the needs of our customers	127.8	121.8	6.0	33

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Projected Distribution of Fiscal Year 2004 Funding and Staffing by Goal and Objective				
Goals and Objectives	Total ($ in millions)	Program ($ in millions)	S&E ($ in millions)	Staffing (FTE)
Goal 5: Enhance the quality of and access to postsecondary and adult education	25,418.2	25,280.6	137.6	656
Enhance the quality of and access to postsecondary and adult education	14.4	14.4	0.0	0
Objective 5.1– Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all	1,522.2	1,497.8	24.4	212
Objective 5.2– Strengthen accountability of postsecondary education institutions	39.9	28.5	11.4	92
Objective 5.3– Establish effective funding mechanisms for postsecondary education	19,587.4	19,523.8	63.6	50
Objective 5.4– Strengthen HBCUs, Hispanic-serving institutions, and tribal colleges and universities	562.4	557.7	4.8	40
Objective 5.5– Enhance the literacy and employment skills of American adults	3,583.4	3,553.3	30.1	232
Objective 5.6– Increase the capacity of U.S. postsecondary institutions to teach world languages, area studies, and international issues	108.5	105.2	3.3	30
Goal 6: Establish management excellence	957.5	0.0	957.5	1,838
Objective 6.1– Develop and maintain financial integrity and management and internal controls	94.3	0.0	94.3	489
Objective 6.2– Improve the strategic management of the Department's human capital	176.7	0.0	176.7	197
Objective 6.3– Manage IT resources, using electronic government, to improve services for our customers and partners	116.0	0.0	116.0	118
Objective 6.4– Modernize the SFA programs and reduce their high-risk status	557.4	0.0	557.4	957
Objective 6.5– Achieve budget and performance integration to link funding decisions to results	8.0	0.0	8.0	54
Objective 6.6– Leverage the contributions of faith-based and community organizations to increase the effectiveness of Department programs	2.6	0.0	2.6	23
Objective 6.7– By becoming a high-performance, customer-focused organization, earn the President's Quality Award	2.5	0.0	2.5	0
Other	78.2	2.934	75.3	714

Note–All funds under "Other" are attributable to civil rights activities

Source: Internal Department of Education estimates provided by Budget Service

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Appendix B Action Step Crosswalk: 2003–2004

FY 2004 Action Step	Corresponding Action Step in 2003 Annual Plan
1.1.A.a	3, 7
1.1.A.d	10
1.1.A.e	4, 8, 9
1.1.C.a	17
1.1.D.c	11
1.1.E.c	19
1.1.E.e	21
1.1.F.a	16, 34, 57, 71
1.2.A.a	22
1.2.A.b	23
1.2.A.c	24
1.2.A.d	25
1.2.B.a	26
1.2.B.b	27
1.2.D.a	36
1.2.D.b	37
1.2.D.c	38
1.2.D.d	68
1.2.E.a	39
1.3.A.e	51
1.3.A.f	52
1.3.B.a	46
1.3.B.g	44
1.3.B.h	45
1.3.D.a	58
1.3.D.b	60
1.3.D.c	62
1.3.E.a	40
1.3.E.b	41
1.3.E.c	42

FY 2004 Action Step	Corresponding Action Step in 2003 Annual Plan
1.4.A.a	66
1.4.A.b	168
2.1.A.a	72
2.1.B.b	82
2.1.B.c	81
2.1.C.a	88
2.1.D.a	90
2.1.D.b	91
2.1.D.c	92
2.2.A.a	101
2.2.A.b	102
2.2.A.c	103
2.2.B.a	96
2.2.B.b	97
2.2.B.d	95
2.2.C.a	98
2.2.C.c	99
2.3.A.b	108
2.3.A.c	107
2.3.D.a	116
2.3.D.c	117
2.3.D.d	115
2.4.A.a	118
2.4.A.b	120, 134
2.4.A.c	121
2.4.B.a	137
2.4.B.b	131
2.4.C.a	124
2.4.C.b	129
2.4.C.d	126

FY 2004 Action Step	Corresponding Action Step in 2003 Annual Plan
2.4.C.e	125
2.4.C.f	127
2.4.D.a	142
2.4.E.a	140
3.1.A.b	143
3.1.B.b	149
3.1.C.a	151
3.2.B.a	156
4.1.A.a	161
4.1.A.b	162
5.1.A.a	179
5.1.A.b	180
5.1.A.c	178
5.1.B.a	182
5.1.B.b	184
5.1.C.b	188
5.1.C.c	185
5.1.C.d	186
5.1.C.e	187
5.2.A.a	189, 190, 191
5.3.A.a	196, 197, 198
5.4.A.b	206
5.4.A.c	199, 200, 201
5.4.B.a	202, 203, 204
5.5.A.a	220
5.5.A.b	218
5.5.B.a	209
5.5.B.b	207
5.5.B.c	208
5.5.C.c	221

FY 2004 Action Step	Corresponding Action Step in 2003 Annual Plan
5.5.C.f	210
5.5.D.a	213
5.5.D.b	214
5.5.D.c	217
6.1.A.d	224
6.7.A.a	383

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Appendix C Information Quality Guidelines

Soon after the inception of the Government Performance and Results Act (GPRA), the Department of Education identified data quality as a major challenge to our successful implementation of the Act. In the early 1990s, the Department did not regularly have reliable information about its programs available to allow managers to make program decisions. As a result of our commitment to improve our data for GPRA reporting, the Department launched a Data Quality Initiative.

In 2002, in response to Section 515 of the Treasury and General Government Appropriations Act and OMB guidance on its provisions, the Department developed *Information Quality Guidelines* to guide program managers in preparing information for dissemination, release to the public.

Through development of these guidelines, employee training, and other mechanisms, the Department continues to make the improvement of data quality a top priority. The Department's *Strategic Plan* emphasizes the importance of information quality. For example, Strategic Goal 4 is to transform education into an evidence-based field. Under this goal, the Department seeks to ensure that the Department's research is of the highest quality and that high-quality research is disseminated widely. The Department also relies on high-quality information in the administration of its programs. For example, Objective 1.1 under the *Strategic Plan* requires the Department to link federal education funding to accountability for results. Consequently, programs that cannot demonstrate evidence of effectiveness with high-quality information will be candidates for reform or elimination.

The Department's new *Information Quality Guidelines*, which apply to the release of information to the public, are presented below in an abbreviated format.

Information Quality Guidelines

The Department of Education's *Information Quality Guidelines* (*Guidelines*) reflect the Department's policy and procedures for reviewing and substantiating the quality of the information it disseminates (e.g., reports, studies, and summaries) and provide an administrative mechanism that allows affected persons to seek and obtain, where appropriate, the correction of information that does not comply with the *Guidelines*. The Department's *Guidelines*, along with those issued by OMB, represent a performance goal for the Department and will improve data management within the Department.

Our *Guidelines* require that Department staff treat information quality as integral to the creation, collection, maintenance, and dissemination of information, and review products before they are disseminated to ensure that they are consistent with these *Guidelines*.

Consistent with guidance from OMB, we consider three factors in assessing information quality for any information that is to be disseminated: utility, objectivity and integrity. They are intended to ensure that information the Department disseminates is useful, accurate, reliable, unbiased, and secure.

The Department disseminates various kinds of information, which must be reviewed for utility, objectivity, and integrity, but the specific application of these factors is targeted to the specific needs and appropriateness for various types of publications. We have identified the four most common types of information products:

- General Information
- Research and Evaluation Information
- Administrative and Program Data
- Statistical Data

Although the guidelines for integrity are the same across all four types, guidelines for utility and objectivity have been established for each of these types of products. Exhibit 1 shows a sample of an information quality checklist for statistical data (other than National Center for Education Statistics data, which have separate published standards).

The *Guidelines* also provide that the level of quality assurance for information must be tied to its level of importance. *Influential information*, that is, information that will or does have a clear and substantial impact on public policies or private sector decisions, must meet a higher level of quality. It must be reproducible according to commonly accepted scientific, financial, or statistical standards for that type of data. It must also be accompanied by supporting documentation that allows an external user to reproduce it, taking into account any ethical and confidentiality restraints. In the case of analytic results, the mathematical and statistical processes used to produce the report must be explained in sufficient detail to allow an independent analyst to substantially reproduce the findings by using original data and identical methods. In situations where the public cannot access the data owing to compelling interests such as confidentiality protections, the Department will apply and document reliability and validity checks.

The *Guidelines* also detail the process by which any person can request the correction of information disseminated by the Department that does not comply with Department and OMB information quality guidelines.

A complete copy of the Department's *Information Quality Guidelines* is available at http://www.ed.gov/offices/OCIO/info_quality/final_webtext.pdf.

Exhibit 1

Information Quality Guidelines

Sample Checklist Items for Statistical Data

Utility

Is the information grammatically correct and clearly written in plain English?

Is the audience identified?

Does the information meet the needs of intended users and help the Department fulfill its mission?

Does the information fill needs that are identified through internal review, legislative mandates, or input from users outside the Department?

Objectivity

Statement of Purpose

Where does the product clearly describe the goals of the study?

Where does the report provide the reason the information is provided, its potential uses, and cautions as to inappropriate extractions or conclusions?

Research Based

Where is the description of the data collection process with survey instruments that were properly developed and tested?

Where is the description of how the response rates were monitored during data collection to ensure that the respondents are representative of the population?

Where does the product show findings and data collection properly documented with an evaluation of the quality of the data including its known limitations (e.g., missing values, amount of nonresponse)?

Sources

Where is the reliability of the data source(s) addressed?

Where does the report include the identification of other possible sources of potentially corroborating or conflicting information?

Burden Reduction

Where does the report describe every effort made to minimize the amount of time required for responses?

Reproducibility for Influential Information

Where is a description of the analytical work in sufficient detail to ensure that the findings could be reproduced using the same data and methods of analysis?

Review and Release

Was all work conducted and released in a timely manner?

What are the procedures to correct any identified errors?

Integrity

Have we safeguarded personally identifiable information?

Have we ensured protection from unauthorized disclosure, alteration, loss, or destruction?

Appendix D Overview of New Directions for Program Evaluation

In FY 2003 the Department will begin a new generation of evaluation studies that are designed to produce rigorous scientific evidence on the effectiveness of education programs and practices. The No Child Left Behind Act of 2001 repeatedly emphasizes the importance of adopting scientifically proven educational practices and programs. However school superintendents, principals, and teachers do not have the information they need in order to make sound decisions for improving instruction and raising student achievement. In many areas, the scientific evidence on the effectiveness of education programs is weak, inconsistent, or nonexistent. The evaluation designs commonly used in education produce statistically biased results that provide little guidance to educators as to what to do next.

On November 6, 2002, the President signed the Education Sciences Reform Act of 2002, establishing a new National Center for Education Evaluation and Regional Assistance (NCEE) of the Institute of Education Sciences. The creation of this Center represents an important shift in the purposes of program evaluation and the types of methodology used in evaluation studies. In the past, most program evaluation studies have focused on issues of program implementation. Issues such as targeting of federal resources, compliance with federal laws and regulations, characteristics of program participants, and types of services provided have been the focus of federal program evaluation studies.

The research methodologies used to answer questions of implementation have been surveys of states, districts, schools, and teachers. Case studies to provide an in-depth look at program implementation have accompanied these surveys. Findings from these studies are of great value to the Congress, the Department, and educators, because they assess the degree to which federal programs are being implemented as intended, describe the problems and challenges to implementation and identify states and districts that have made significant progress.

In FY 2003 the Department will launch a set of implementation evaluation studies in a wide range of areas including ESEA Title I, ESEA Title II, Reading First, Safe and Drug Free Schools, Education Technology, Comprehensive School Reform, and Traditional American History. These studies will, for the most part, administer surveys to nationally representative samples of districts, schools, and teachers. Data from these studies will provide a national picture of the progress made in implementation of federal programs.

As important as implementation studies are, they do not answer the key questions of program effectiveness and impact. Complementing the new implementation studies, NCEE will launch a set of evaluation studies designed to answer questions of program effectiveness. Past efforts to answer questions of program effectiveness have been hampered by weak evaluation designs and by misidentification of the key policy question.

In the area of evaluation designs, the Department has relied too heavily on studies that correlate trends in student achievement to changes in education practices. Although this type of study is useful, inferences about whether the changes in education practices caused the changes in student achievement cannot be made. In other cases, evaluation studies have used some type of quasi-

experimental design in which, for example, students who participated in the program are compared against a "similar" group of students. Although this kind of design is superior to a correlational study, it is very difficult to adequately "match" two groups on all relevant factors. In either type of design, reliable inferences about the effectiveness of a program or practice are very risky.

In an effort to significantly raise the quality of scientific evidence on program effectiveness, NCEE will launch a generation of evaluation studies that intend to use the most rigorous evaluation designs possible. In many cases, the Center will use randomized trials in which schools, teachers or students (depending on the specific design) will be randomly assigned to an educational program or the control condition. In some cases, the control condition will be the educational practice or program that has been followed in the past. In other cases, two or more innovations or programs will be compared, both of which are presumed to better than typical practice in the schools or districts that are participating. An experimental design is the most reliable and accurate way of estimating the impact of an educational intervention. Commonly used in medical research, randomized trials have only recently been employed in educational research. However there are now several examples of evaluation studies using this type of design in areas such as dropout prevention, family literacy, after-school programs, schools within schools, school-based drug prevention, early reading, adult literacy, bilingual education, alternative teacher certification, and summer school. The existence of these studies clearly shows that randomized trials in education evaluation can be done and not in just a few classrooms or schools.

In some instances, randomized trials will not be feasible to conduct. For those studies, designs such as interrupted time series or carefully matched comparison groups will be used. However in all cases, the impact evaluation studies are intended to answer a bottom-line question of causality (i.e., "Did Program X raise student achievement?"). The evaluation studies supported by the Center will use only those methodologies that can provide credible scientific evidence to answer questions of causality.

As part of this growing effort to produce high-quality scientific evidence on program effectiveness, NCEE will launch in FY 2003 several program-effectiveness studies in the following program areas: ESEA Title I, Reading First, Early Reading First, ESEA Title II, Bilingual Education, Even Start, 21st Century, Education Technology, and Charter Schools. In each area, the evaluation will employ a random assignment of schools, teachers, or students to an educational program or a comparison program. Random assignment, otherwise known as a lottery, is generally accepted by participants as fair and equitable when a new program that is considered desirable cannot be made available to everyone. NCEE hopes that findings from these studies will provide a significant contribution to the growing body of credible scientific evidence on effective educational practices and programs.

A second problem with past impact studies is that they have focused on the wrong question. In some cases, studies have attempted to answer the question of overall program impact. However, many of the federal education programs are "funding streams" that provide funds to states and districts for the support of a wide range of activities that are decided at the local level. There is no specific list of educational programs and practices that all schools must adopt. Attempting to answer the question of overall impact provides very little useful information for program improvement when the federal program is not intended to be specific as to what should be taught and how. Studying a representative sample of grantees of a federal "funding stream" has typically produced a finding of "no impact." That is not surprising because we would expect some districts and schools to make wise decisions on the use of federal funds and others to make poor choices. The "no impact" finding provides no information as to what specifically educators should do to raise student achievement.

What is needed for program improvement is evidence on the effectiveness of specific programs or practices that are supported with federal funds. Knowing which programs are effective and ineffective would provide concrete guidance on what should be done. NCEE hopes that their evaluation studies will begin to provide such guidance. The Center plans to conduct rigorous impact studies of promising educational programs and practices that are supported through federal funds. In some areas where there is limited evidence that any intervention is effective, the Center will support the development or modification of interventions based on sound theory and use randomized trials to test their effectiveness.

In summary, the Department's evaluation strategy is to address questions of both program implementation and effectiveness. We plan to track the progress of the NCLB Act as well as to begin to build a substantial body of credible scientific evidence that schools and teachers can use to raise student achievement for all children.

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List of Planned Evaluation Studies

Program	Program Type	Study Name	Study Style	Study Status	Lead Office
ESEA Title I	Formula	Design for an Impact Evaluation of Educational Interventions	Impact Study	New	IES
		Evaluation of Title I Accountability Systems and School Improvement Efforts	Descriptive Study	Continuing	PPSS
		National Longitudinal Study of Title I Schools	Descriptive Study	New	PPSS
		School-Level Assessment Database	Descriptive Study	Continuing	PPSS
		State Education and Accountability Indicators	Descriptive Study	Continuing	PPSS
		Strategies to Increase the Graduation Rate for Migrant Secondary Students	Descriptive Study	Continuing	PPSS
		Support for NCES Early Childhood Longitudinal Study	Descriptive Study	Continuing	IES
Reading First State Grants	Formula	Design for an Impact Evaluation of the Reading First Program	Impact Study	New	IES
		Evaluation of the Reading First Program	Impact Study	New	IES
		Reading First Implementation Study	Descriptive Study	New	PPSS
Even Start	Formula	Evaluation of Even Start Interventions (CLIO)	Impact Study	New	IES
Comprehensive School Reform	Formula	Longitudinal Assessment of CSR Implementation and Outcomes	Descriptive Study	Continuing	IES
		Student Achievement Supplement	Descriptive Study	Continuing	IES
ESEA Title II Teacher Quality State Grants	Formula	Design for an Impact Evaluation of Alternative Certification Programs	Impact Study	Continuing	IES
		Impact Evaluation of Alternative Teacher Certification Programs	Impact Study	New	IES
		Impact Evaluation of Teacher Professional Development	Impact Study	New	IES
		Implementation and Quality of Title II Activities	Descriptive Study	New	PPSS
		Transition to Teachers Evaluation	Descriptive Study	New	PPSS

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List of Planned Evaluation Studies (continued)

Program	Program Type	Study Name	Study Style	Study Status	Lead Office
Educational Technology State Grants	Formula	Design for an Impact Evaluation of Educational Technology Interventions	Impact Study	Continuing	IES
		Impact Evaluation of Educational Technology	Impact Study	New	IES
		National Educational Technology Trends Study (NETTS)	Descriptive Study	Continuing	PPSS
21st Century Community Learning Centers	Formula	Impact Evaluation of After-School Educational Interventions	Impact Study	New	IES
		Implementation of State-Administered Program	Descriptive Study	New	PPSS
ESEA Title III English Language Acquisition State Grants	Formula	Program Implementation and Impact	Impact Study	Continuing	IES
		Impact of ELL Interventions	Impact Study	New	IES
Safe and Drug-Free Schools and Communities	Formula	Analysis of State Performance Reports	Descriptive Study	New	PPSS
		Design for an Impact Evaluation of School-Based Drug Prevention and Safety Programs	Impact Study	New	IES
		Implementation of Middle School (National) Coordinator Program	Descriptive Study	Continuing	PPSS
		Quality of the SDFS Program	Descriptive Study	Continuing	PPSS
Impact Aid	Formula	Impact Aid Evaluation Design Paper	Descriptive Study	New	PPSS
IDEA Part B Grants to States	Formula	Federal and State Monitoring of Grants	Descriptive Study	New	OSERS/ Budget Service
		National Longitudinal Transition Study	Descriptive Study	Continuing	
		Special Education Expenditures Project	Descriptive Study	Continuing	
		Special Education Elementary Longitudinal Study	Descriptive Study	Continuing	
		State and Local Implementation of IDEA	Descriptive Study	Continuing	

List of Planned Evaluation Studies (continued)					
Program	Program Type	Study Name	Study Style	Study Status	Lead Office
IDEA Grants for Infants and Families	Formula	State and Local Implementation and Impact of IDEA Part C	Descriptive Study	New	OSERS/Budget Service
		National Early Intervention Longitudinal Study	Descriptive Study	Continuing	
IDEA Preschool Grants	Formula	Pre-Elementary Longitudinal Study	Descriptive Study	Continuing	OSERS/Budget Service
IDEA State Improving Grants	Discretionary	State Improvement Program Evaluation	Descriptive Study	Continuing	OSERS/Budget Service
Vocational Rehabilitation State Grants	Formula	Participation of State VR Agencies in the Ticket to Work Program	Descriptive Study	New	OSERS/Budget Service
		Project and Evaluation Design of Demonstrations to Improve the Literacy Skills of VR Consumers	Impact Study	Continuing	
		State VR Agency Performance	Descriptive Study	Continuing	
		Design for a 2nd Longitudinal Study of the VR Program	Descriptive Study	New	
Vocational Education and Tech-Prep State Grants	Formula	Value Added of Dual/Concurrent Enrollment	Descriptive Study	New	IES
		Analysis of Curriculum Based Exit Exams	Descriptive Study	New	PPSS
Adult Education State Grants	Formula	Design for an Impact Evaluation of Adult Literacy Programs	Impact Study	New	IES
		Pilot Analysis of Student Attendance, Instruction, Achievement, Employment, and Earnings of Adult Education (ABE and ESL) Participants	Descriptive Study	Continuing	PPSS
Charter Schools Grants	Discretionary	Impact Evaluation of Charter Schools	Impact Study	New	IES
		Public Charter School Program Evaluation	Descriptive Study	Continuing	PPSS
Early Reading First	Discretionary	Impact of Early Reading First	Impact Study	New	IES

List of Planned Evaluation Studies (continued)

Program	Program Type	Study Name	Study Style	Study Status	Lead Office
Magnet Schools	Discretionary	Design for an Impact Evaluation of Magnet School Programs	Impact Study	New	IES
		Evaluation of the Magnet School Assistance Program	Descriptive Study	Continuing	PPSS
Teaching of Traditional American History	Discretionary	Teaching American History Program Evaluation	Descriptive Study	New	PPSS
Fund for the Improvement of Postsecondary Education (FIPSE)	Discretionary	Evaluation of FIPSE Comprehensive Program	Descriptive Study	Continuing	PPSS
TRIO (Upward Bound, Talent Search, McNair, Student Support Services)	Discretionary	McNair Post-Baccalaureate Achievement	Descriptive Study	Continuing	PPSS
		National Study of Student Support Services Program	Descriptive Study	Continuing	PPSS
		Talent Search Program Evaluation	Descriptive Study	Continuing	PPSS
		Upward Bound Impact Evaluation	Impact Study	Continuing	PPSS
Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)	Discretionary	GEAR UP Evaluation	Descriptive Study	Continuing	PPSS
Improving Literacy Through Libraries	Discretionary	Improving Literacy Through Libraries Program Evaluation	Descriptive Study	New	PPSS
Voluntary Public School Choice	Discretionary	Voluntary Public School Choice Evaluation	Descriptive Study	Continuing	PPSS
Charter School Facilities	Discretionary	Charter School Facilities Demo Evaluation	Descriptive Study	New	PPSS
Migrant Education	Formula	Analysis of State Performance Reports	Descriptive Study	Continuing	PPSS
		Condition of Migrant Education Act Annual Report	Descriptive Study	Continuing	PPSS

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List of Planned Evaluation Studies (continued)

Program	Program Type	Study Name	Study Style	Study Status	Lead Office
Troops to Teachers	Discretionary	Troops to Teachers Evaluation	Descriptive Study	New	PPSS
School Leadership Program	Discretionary	Literature Review	Descriptive Study	New	PPSS
NAEP	---	NAEP Evaluation	Descriptive Study	New	PPSS

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Glossary

Glossary of Abbreviations and Acronyms

ABE	Adult Basic Education
AEFLA	Adult Education and Family Literacy Act (Title II of WIA)
AP	Advanced Placement
AYP	Adequate Yearly Progress
Blueprint	Blueprint of Management Excellence
BPR	Biennial Performance Report
CAMP	College Assistance Migrant Program
CDC	Centers for Disease Control and Prevention
COOP	Continuity of Operations Plan
CPIC	Capital Planning Investment Control
CSR	Comprehensive School Reform
DEOA	Department of Education Organization Act
DLOS	Direct Loan Origination System
E-gov	Electronic government
ED	Department of Education
EDA	Education of the Deaf Act
EDCAPS	Education Department's Central Automated Processing System
EDPAS	Education Department Performance Appraisal System
ELL	English Language Learner
EMT	Executive Management Team
ESEA	Elementary and Secondary Education Act
ESL	English as a Second Language
ESRA	Education Sciences Reform Act
FAIR	Federal Activities Inventory Reform Act
FBCO	Faith-Based and Community Organizations

FIPSE	Fund for the Improvement of Postsecondary Education
FMFIA	Federal Managers Financial Integrity Act
FPDS	Federal Procurement Data Source
FSA	Office of Federal Student Aid
FY	Fiscal Year
GAANN	Graduate Assistance in Areas of National Need
GAO	General Accounting Office
GEAR UP	Gaining Early Awareness and Readiness for Undergraduate Programs
GPAS	General Performance Appraisal System
GPRA	Government Performance and Results Act
GRS	Graduation Rate Survey
GS	General Schedule
Guidelines	Information Quality Guidelines
HEA	Higher Education Act
HBCU	Historically Black Colleges and Universities
HSI	Hispanic-Serving Institutions
IASA	Improving America's Schools Act
IDEA	Individuals with Disabilities Education Act
IDUES	Institutional Development and Undergraduate Education Programs
IES	Institute of Education Sciences
IHE	Institution of Higher Education
IPEDS	Integrated Postsecondary Education Data System
IRB	Investment Review Board
IT	Information Technology
LEA	Local Educational Agency
MVHAA	McKinney-Vento Homeless Assistance Act
MIT	Management Improvement Team
NAAL	National Assessment of Adult Literacy
NAEP	National Assessment of Educational Progress
NCES	National Center for Education Statistics

NCLB	No Child Left Behind Act
NETTS	National Educational Technology Trends Study
NHES	National Household Education Surveys Program
NHSDA	National Household Survey on Drug Abuse
NICHD	National Institute of Child Health and Human Development
NIDRR	National Institute on Disability and Rehabilitation Research
NPD	National Professional Development
NPSAS	National Postsecondary Student Aid Survey
NSLDS	National Student Loan Data System
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
ODS	Office of the Deputy Secretary
OELA	Office of English Language Acquisition, Language Enhancement, and Academic Achievement for Limited English Proficient Students.
OESE	Office of Elementary and Secondary Education
OGC	Office of the General Counsel
OIG	Office of Inspector General
OM	Office of Management
OMB	Office of Management and Budget
OPE	Office of Postsecondary Education
OPM	Office of Personnel Management
OSDFS	Office of Safe and Drug-Free Schools
OSEP	Office of Special Education Programs
OSERS	Office of Special Education and Rehabilitative Services
OVAE	Office of Vocational and Adult Education
PART	Program Assessment Rating Tool
PBDMI	Performance-Based Data Management Initiative
PBS	Public Broadcasting System
PMA	President's Management Agenda
PPSS	Policy and Program Studies Service

RA	Rehabilitation Act
REAP	Rural Education Achievement Program
RFMS	Recipient Financial Management System
RIMG	Regulatory Information Management Group
RSA	Rehabilitation Services Administration
SAS	Strategic Accountability Service
SDFSCA	Safe and Drug-Free Schools and Communities Act
SEA	State Educational Agency
SERS	School Evaluation and Reporting System
SES	Senior Executive Service
SFA	Student Financial Assistance
TASSIE	Title I Accountability Systems and School Improvement Efforts
TCU	Tribal Colleges and Universities
VR	Vocational Rehabilitation
YRBS	Youth Risk Behavior Survey
VTEA	Vocational and Technical Education Act
WIA	Workforce Investment Act

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